

194 Grant or Assistance Application

Functional Group ID=**GT**

Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Grant or Assistance Application Transaction Set (194) for use within the context of an Electronic Data Interchange (EDI) environment. This transaction set can be used by organizations submitting applications for grants, cooperative agreements, and other assistance. These applications will typically include project, budget, personnel, descriptive, and other related data.

Notes:

1. Organizations use this transaction set to submit a Grant or Assistance Application to a Federal Agency. This application may be in the form of an unsolicited proposal, or a response to a general announcement, a specific agency request, or an annual solicitation.

2. Organizations also use this transaction set to submit budgets or revised budgets for previously submitted applications and to submit professional profiles.

3. Federal Agencies use this transaction set to respond with proposed or approved budgets.

4. A single transmission of this transaction set shall be used to submit the application or budget for one project only. It may be used to transmit one or more professional profiles.

5. In this convention, the term grant includes: grant award, research contract, and cooperative agreement.

Heading:

| Page No. | Pos. No. | Seg. ID | Name | Req. Des. | Max.Use | Loop Repeat | Notes and Comments |
|---------------|----------|---------|--|-----------|---------|-------------|--------------------|
| 4 | 0100 | ST | Transaction Set Header | M | 1 | | |
| 5 | 0200 | BGN | Beginning Segment | M | 1 | | |
| 9 | 0300 | DTM | Date/Time Reference | O | >1 | | |
| Not Used | 0400 | LDT | Lead Time | O | >1 | | |
| 11 | 0500 | PWK | Paperwork | O | >1 | | |
| LOOP ID - N9 | | | | | | >1 | |
| 14 | 0600 | N9 | Reference Identification | O | 1 | | |
| Not Used | 0700 | L11 | Business Instructions and Reference Number | O | >1 | | |
| 18 | 0800 | MTX | Text | O | >1 | | |
| LOOP ID - NM1 | | | | | | >1 | |
| 19 | 0900 | NM1 | Individual or Organizational Name | O | 1 | | |
| 23 | 1000 | N2 | Additional Name Information | O | 2 | | |
| 24 | 1100 | N3 | Address Information | O | 2 | | |

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| | | | | | |
|----|------|-----|---------------------------------------|---|----|
| 25 | 1200 | N4 | Geographic Location | O | 1 |
| 27 | 1300 | N9 | Reference Identification | O | >1 |
| 30 | 1400 | PER | Administrative Communications Contact | O | >1 |

Detail:

| Page No. | Pos. No. | Seg. ID | Name | Req. Des. | Max. Use | Loop Repeat | Notes and Comments |
|---------------|----------|---------|--|-----------|----------|-------------|--------------------|
| LOOP ID - HL | | | | | | >1 | |
| 32 | 0100 | HL | Hierarchical Level | M | 1 | | |
| 36 | 0200 | QTY | Quantity | O | >1 | | |
| Not Used | 0300 | AMT | Monetary Amount | O | >1 | | |
| 38 | 0500 | DTM | Date/Time Reference | O | >1 | | |
| 40 | 0600 | PAM | Period Amount | O | >1 | | |
| Not Used | 0700 | HSD | Health Care Services Delivery | O | >1 | | |
| 46 | 0800 | NX1 | Property or Entity Identification | O | >1 | | |
| 57 | 0900 | YNQ | Yes/No Question | O | >1 | | |
| LOOP ID - N9 | | | | | | >1 | |
| 64 | 1000 | N9 | Reference Identification | O | 1 | | |
| 71 | 1050 | L11 | Business Instructions and Reference Number | O | >1 | | |
| 72 | 1100 | MTX | Text | O | >1 | | |
| LOOP ID - INX | | | | | | >1 | |
| 73 | 1200 | INX | Index Detail | O | 1 | | |
| 75 | 1300 | K3 | File Information | M | >1 | | |
| LOOP ID - PO1 | | | | | | >1 | |
| Not Used | 1400 | PO1 | Baseline Item Data | O | 1 | | |
| Not Used | 1600 | MTX | Text | O | >1 | | |
| LOOP ID - PPL | | | | | | >1 | |
| 77 | 1700 | PPL | Price Support Data | O | 1 | | |
| Not Used | 1800 | REF | Reference Identification | O | >1 | | |
| LOOP ID - PD | | | | | | >1 | |
| 79 | 1900 | PD | Pricing Data | O | 1 | | |
| 89 | 2000 | PDD | Pricing Data Detail | O | >1 | | |
| LOOP ID - PL | | | | | | >1 | |
| Not Used | 2100 | PL | Proposal Cost Logic | O | 1 | | |
| Not Used | 2200 | REF | Reference Identification | O | >1 | | |
| Not Used | 2300 | AMT | Monetary Amount | O | 1 | | |
| Not Used | 2400 | PCT | Percent Amounts | O | 1 | | |
| Not Used | 2500 | QTY | Quantity | O | 1 | | |
| Not Used | 2600 | NTE | Note/Special Instruction | O | >1 | | |
| LOOP ID - PD | | | | | | >1 | |
| Not Used | 2700 | PD | Pricing Data | O | 1 | | |
| Not Used | 2800 | SPI | Specification Identifier | O | 1 | | |
| Not Used | 2900 | REF | Reference Identification | O | >1 | | |
| Not Used | 3000 | PDD | Pricing Data Detail | O | >1 | | |
| Not Used | 3100 | MTX | Text | O | >1 | | |
| Not Used | 3200 | DTM | Date/Time Reference | O | 10 | | |

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| | | | | | |
|----------|------|-----|--|---|----|
| | | | LOOP ID - LX | | >1 |
| 91 | 3300 | LX | Assigned Number | O | 1 |
| 92 | 3400 | NM1 | Individual or Organizational Name | O | 1 |
| 98 | 3500 | N2 | Additional Name Information | O | 2 |
| 99 | 3600 | N3 | Address Information | O | 2 |
| 100 | 3700 | N4 | Geographic Location | O | 1 |
| 102 | 3750 | PER | Administrative Communications Contact | O | >1 |
| 104 | 3800 | DMG | Demographic Information | O | >1 |
| 106 | 3900 | EMS | Employment Position | O | 1 |
| | | | LOOP ID - N9 | | >1 |
| 108 | 4000 | N9 | Reference Identification | O | 1 |
| Not Used | 4050 | L11 | Business Instructions and Reference Number | O | >1 |
| 114 | 4100 | MTX | Text | O | >1 |
| | | | LOOP ID - DEG | | >1 |
| 116 | 4200 | DEG | Degree Record | O | 1 |
| 118 | 4300 | FOS | Field of Study | O | >1 |
| 119 | 4400 | N1 | Name | O | >1 |
| | | | LOOP ID - K2 | | >1 |
| Not Used | 4500 | K2 | Administrative Message | O | 1 |
| Not Used | 4600 | N9 | Reference Identification | O | >1 |
| Not Used | 4700 | NM1 | Individual or Organizational Name | O | >1 |
| 121 | 4800 | SE | Transaction Set Trailer | M | 1 |

Segment: ST Transaction Set Header**Position:** 0100**Loop:****Level:** Heading**Usage:** Mandatory**Max Use:** 1**Purpose:** To indicate the start of a transaction set and to assign a control number**Syntax Notes:**

- Semantic Notes:**
- 1** The transaction set identifier (ST01) is used by the translation routines of the interchange partners to select the appropriate transaction set definition (e.g., 810 selects the Invoice Transaction Set).
 - 2** The implementation convention reference (ST03) is used by the translation routines of the interchange partners to select the appropriate implementation convention to match the transaction set definition.

Comments:**Data Element Summary**

| | Ref. | Data | | |
|-----------------|--------------------|-----------------------|---|--------------------------|
| | <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | ST01 | 143 | Transaction Set Identifier Code | M ID 3/3 |
| | | | Code uniquely identifying a Transaction Set | |
| | | | 194 Grant or Assistance Application | |
| M | ST02 | 329 | Transaction Set Control Number | M AN 4/9 |
| | | | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | |
| | | | <i>This unique control number is assigned by the originator of the transaction set or by the originator's application program. This same number is carried in SE02.</i> | |
| Not Used | ST03 | 1705 | Implementation Convention Reference | O AN 1/35 |
| | | | Reference assigned to identify Implementation Convention | |

Segment: **BGN** Beginning Segment
Position: 0200
Loop:
Level: Heading
Usage: Mandatory
Max Use: 1
Purpose: To indicate the beginning of a transaction set
Syntax Notes: 1 If BGN05 is present, then BGN04 is required.
Semantic Notes: 1 BGN02 is the transaction set reference number.
2 BGN03 is the transaction set date.
3 BGN04 is the transaction set time.
4 BGN05 is the transaction set time qualifier.
5 BGN06 is the transaction set reference number of a previously sent transaction affected by the current transaction.
Comments:

Data Element Summary

| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|----------------------------|-------------------------------|---|-------------------|
| M | BGN01 | 353 | Transaction Set Purpose Code | M ID 2/2 |
| | | | Code identifying purpose of transaction set | |
| | | 00 | Original | |
| | | | <i>Use to indicate the first transmission of a transaction set, other than a preapplication.</i> | |
| | | 01 | Cancellation | |
| | | | <i>Use to indicate the cancellation of a previous transmission.</i> | |
| | | 05 | Replace | |
| | | | <i>Use to indicate that a change has been made to a previous transmission. When used, all data, whether changed or not, must be retransmitted. When used, the retransmitted data will overwrite the information in the receiving database.</i> | |
| | | 07 | Duplicate | |
| | | | <i>Use to indicate the retransmission of a previous transaction set. Use only when the receiving organization requests a retransmission because the receiving application system either did not receive the original transmission or received it incorrectly.</i> | |
| | | 24 | Draft | |
| | | | <i>Use to indicate a preapplication as authorized in Federal agency instructions.</i> | |
| M | BGN02 | 127 | Reference Identification | M AN 1/30 |

| | | | | |
|----------|-------|-----|---|-----------|
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| | | | <i>Identify the grant applicant's unique identifier for this application.</i> | |
| M | BGN03 | 373 | Date Date expressed as CCYYMMDD | M DT 8/8 |
| | | | <i>Identify the date of the transaction set creation. This is the date the application was submitted.</i> | |
| | BGN04 | 337 | Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | X TM 4/8 |
| | | | <i>Preferred time format is HHMMSS.</i> | |
| | BGN05 | 623 | Time Code Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow LT Local Time | O ID 2/2 |
| | BGN06 | 127 | Reference Identification Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier <i>Use is REQUIRED, if applicable, to identify the unique number associated with a solicitation or announcement as released by the Federal Agency to which this application is responding. Identify the title of the solicitation or announcement in 1/N9/0600 loop (N901 code KS).</i> | O AN 1/30 |
| Must Use | BGN07 | 640 | Transaction Type Code Code specifying the type of transaction <i>1. Codes 07, 6A, 6C, 6N, 6R, 6S, FG, S4, and TS are used only by a grant applicant.</i> <i>2. Codes 65 and FM are used only by Federal Agencies.</i> 07 Budget <i>Use to indicate a budget-only submission or re-submission to a previously submitted complete application.</i> <i>When this code is used, grant applicants provide only the minimal information to correctly identify the submission and complete budget data. Use only the following segments/loops (conflicting implementation convention instructions</i> | O ID 2/2 |

concerning REQUIRED data and contained in segment, element, or code value notes in other segments may be ignored):

1/ST/0100

1/BGN/0200

1/NM1/0900 loop using only NM101 codes BY, SE, and 1B

2/HL/0100 loop for the Project, and any Subprojects, or Consortiums only

2/PPL/1700 loop to provide the budget detail

2/SE/4800

65 Award Notification

Use to indicate a budget approved by a Federal Agency for an award. Use the segments as instructed in code 07 plus code CT in 1/N9/0600.

6A Accomplishment Based Renewal

6C Competitive Renewal

6N Non-competitive Renewal

6R Resubmission

Use to indicate a resubmission of an application submitted to the same Federal Agency that was disapproved or unfunded in a previous grant application cycle.

6S Supplemental

Use to indicate that this application is a request for an adjustment in the budget to an existing award.

FG Filing

Use to indicate the submission of a professional profile.

FM Funding Modification

Use to indicate a budget proposed by the Federal agency to the grant applicant. Use the segments as instructed in code 07 plus, if applicable, code CT in 1/N9/0600.

S4 Submission

Use to indicate the submission of a new application.

TS Transfer Statement

Use to indicate an application which is the result of a transfer of the grant award from one organization to another.

BGN08

306

Action Code

O ID 1/2

Code indicating type of action

2

Change (Update)

| | | | |
|--------------|------------|---|--|
| | | | <p><i>Use in conjunction with BGN07 code 6S to indicate a proposed adjustment in the budget of an existing award that neither increases nor decreases the grant total amount.</i></p> |
| | A6 | Modified | <p><i>1. Use in conjunction with BGN07 code FM to indicate a proposed adjustment in the budget of an existing award.</i></p> <p><i>2. Use in conjunction with BGN07 code 65 to indicate an approved adjustment in the budget of an existing award.</i></p> |
| | AA | Award | <p><i>1. Use in conjunction with BGN07 code FM to indicate a budget proposed for a new award or renewal.</i></p> <p><i>2. Use in conjunction with BGN07 code 65 to indicate an approved budget for a new award or renewal.</i></p> |
| | AD | Decrease in Amount | <p><i>Use in conjunction with BGN07 code 6S to indicate a proposed downward adjustment in the budget of an existing award.</i></p> |
| | AI | Increase in Amount | <p><i>Use in conjunction with BGN07 code 6S to indicate a proposed upward adjustment in the budget of an existing award.</i></p> |
| BGN09 | 786 | Security Level Code | O ID 2/2 |
| | | Code indicating the level of confidentiality assigned by the sender to the information following | |
| | | <p><i>1. Use to identify the highest level of government security classification applicable to the data contained within this transaction. Do not use if not classified.</i></p> <p><i>2. Prior notification must be made with the receiving Federal Agency and appropriate security steps taken before classified data can be transmitted using EDI.</i></p> | |
| | 92 | Government Confidential | |
| | 93 | Government Secret | |

Segment: **DTM** Date/Time Reference

Position: 0300

Loop:

Level: Heading

Usage: Optional

Max Use: >1

Purpose: To specify pertinent dates and times

Syntax Notes:

- 1 At least one of DTM02 DTM03 or DTM05 is required.
- 2 If DTM04 is present, then DTM03 is required.
- 3 If either DTM05 or DTM06 is present, then the other is required.

Semantic Notes:

Comments:

Notes: 1. Use this DTM segment to identify the date the applicant's offer expires.

2. When the applicant organization is applying for Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) assistance, use to identify the date the for-profit company was founded.

Data Element Summary

| | <u>Ref.</u> | <u>Data</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|-------------|-------------|---------------------|--|-------------------|
| M | DTM01 | 374 | Date/Time Qualifier | | M ID 3/3 |
| | | | | Code specifying type of date or time, or both date and time | |
| | | | | 036 Expiration | |
| | | | | Date coverage expires | |
| | | | | Use to indicate the date this offer is withdrawn by the applicant organization from Federal Agency consideration for award. | |
| | | | | 145 Opening Date | |
| | | | | Use only for SBIR and STTR applications to indicate the date the company was founded. | |
| Must Use | DTM02 | 373 | Date | | X DT 8/8 |
| | | | | Date expressed as CCYYMMDD | |
| Not Used | DTM03 | 337 | Time | | X TM 4/8 |
| | | | | Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | |
| Not Used | DTM04 | 623 | Time Code | | O ID 2/2 |
| | | | | Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow | |

| | | | | | |
|-----------------|--------------|-------------|---|----------|----------------|
| Not Used | DTM05 | 1250 | Date Time Period Format Qualifier | X | ID 2/3 |
| | | | Code indicating the date format, time format, or date and time format | | |
| Not Used | DTM06 | 1251 | Date Time Period | X | AN 1/35 |
| | | | Expression of a date, a time, or range of dates, times or dates and times | | |

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|------------------------|---|
| Segment: | PWK Paperwork |
| Position: | 0500 |
| Loop: | |
| Level: | Heading |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To identify the type or transmission or both of paperwork or supporting information |
| Syntax Notes: | 1 If either PWK05 or PWK06 is present, then the other is required. |
| Semantic Notes: | |
| Comments: | 1 PWK05 and PWK06 may be used to identify the addressee by a code number. 2 PWK07 may be used to indicate special information to be shown on the specified report. 3 PWK08 may be used to indicate action pertaining to a report. |
| Notes: | <i>Use this PWK segment to indicate that information related to the application is being provided by means other than this EDI transaction set.</i> |

Data Element Summary

| Ref. | Data | Name | Attributes |
|-------------|----------------|---|--|
| <u>Des.</u> | <u>Element</u> | | |
| M | PWK01 | 755 Report Type Code | M ID 2/2 |
| | | Code indicating the title or contents of a document, report or supporting item | |
| | | AE Attachment | |
| | | | <i>Use to indicate that SOME supplementary technical information is being provided by means other than this transaction set. Use of this code is mutually exclusive with use of code SD.</i> |
| | | C1 Cost Data Summary | |
| | | | <i>Use to indicate that the cost and price (budget) data is being provided by means other than this transaction set.</i> |
| | | SD Support Data for a Request for Quote | |
| | | | <i>Use to indicate that ALL technical data is being provided by means other than this transaction set. Use of this code is mutually exclusive with use of code AE.</i> |
| | PWK02 | 756 Report Transmission Code | O ID 1/2 |
| | | Code defining timing, transmission method or format by which reports are to be sent | |
| | | BM By Mail | |
| | | | <i>Use to indicate transmittal via the United States Postal Service (USPS).</i> |
| | | CF Courier | |
| | | | <i>Use to indicate transmittal via commercial express</i> |

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|----------|-------|-----|--|--|
| | | | | <i>courier. Use in conjunction with PWK04/05/06.</i> |
| | | DA | Data | |
| | | | | <i>Use to indicate other forms of electronic transfer. When used, identify the other form in PWK07.</i> |
| | | EL | Electronically Only | |
| | | | | <i>Use to indicate that data was sent by a separate EDI transaction set. When used, identify the unique number of the transaction set in N902 of the 1/N9/0600 segment citing code TN in N901.</i> |
| | | EM | E-Mail | |
| | | | | <i>Use to indicate E-Mail.</i> |
| | | FX | By Fax | |
| | | IA | Electronic Image | |
| | | | | <i>Use to indicate the World Wide Web. When used, provide the Universal Resource Locator (URL) where information is to be obtained in PWK07.</i> |
| Not Used | PWK03 | 757 | Report Copies Needed | O N0 1/2 |
| | | | The number of copies of a report that should be sent to the addressee | |
| | PWK04 | 98 | Entity Identifier Code | O ID 2/3 |
| | | | Code identifying an organizational entity, a physical location, property or an individual | |
| | | CA | Carrier | |
| | | | | <i>Use in conjunction with PWK02 code CF, PWK05/06 to identify the carrier.</i> |
| | PWK05 | 66 | Identification Code Qualifier | X ID 1/2 |
| | | | Code designating the system/method of code structure used for Identification Code (67) | |
| | | | <i>While the Federal EDI program uses the Data Universal Numbering System (DUNS) and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.</i> | |
| | | 1 | D-U-N-S Number, Dun & Bradstreet | |
| | | | | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> |
| | | 9 | D-U-N-S+4, D-U-N-S Number with Four Character Suffix | |
| | | | | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> |
| | | 33 | Commercial and Government Entity (CAGE) | |
| | PWK06 | 67 | Identification Code | X AN 2/80 |
| | | | Code identifying a party or other code | |

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|-----------------|---------------|-------------|---|------------------|
| | | | <i>Use to identify the DUNS number, DUNS+4 number or CAGE code of the carrier.</i> | |
| | PWK07 | 352 | Description | O AN 1/80 |
| | | | A free-form description to clarify the related data elements and their content | |
| | | | <i>1. When PWK02 is code DA, use to identify the other form of electronic transfer.</i> | |
| | | | <i>2. When PWK02 is code IA, use to provide the Universal Resource Locator (URL) where information is to be obtained.</i> | |
| Not Used | PWK08 | C002 | Actions Indicated | O |
| | | | Actions to be performed on the piece of paperwork identified | |
| Not Used | C00201 | 704 | Paperwork/Report Action Code | M ID 1/2 |
| | | | Code specifying how the paperwork or report that is identified in the PWK segment relates to the transaction set or to identify the action that is required | |
| Not Used | C00202 | 704 | Paperwork/Report Action Code | O ID 1/2 |
| | | | Code specifying how the paperwork or report that is identified in the PWK segment relates to the transaction set or to identify the action that is required | |
| Not Used | C00203 | 704 | Paperwork/Report Action Code | O ID 1/2 |
| | | | Code specifying how the paperwork or report that is identified in the PWK segment relates to the transaction set or to identify the action that is required | |
| Not Used | C00204 | 704 | Paperwork/Report Action Code | O ID 1/2 |
| | | | Code specifying how the paperwork or report that is identified in the PWK segment relates to the transaction set or to identify the action that is required | |
| Not Used | C00205 | 704 | Paperwork/Report Action Code | O ID 1/2 |
| | | | Code specifying how the paperwork or report that is identified in the PWK segment relates to the transaction set or to identify the action that is required | |
| Not Used | PWK09 | 1525 | Request Category Code | O ID 1/2 |
| | | | Code indicating a type of request | |

| | |
|------------------------|--|
| Segment: | N9 Reference Identification |
| Position: | 0600 |
| Loop: | N9 Optional |
| Level: | Heading |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To transmit identifying information as specified by the Reference Identification Qualifier |
| Syntax Notes: | <ol style="list-style-type: none"> 1 At least one of N902 or N903 is required. 2 If N906 is present, then N905 is required. 3 If either C04003 or C04004 is present, then the other is required. 4 If either C04005 or C04006 is present, then the other is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 N906 reflects the time zone which the time reflects. 2 N907 contains data relating to the value cited in N902. |
| Comments: | |
| Notes: | <p><i>When BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, FM, S4, or TS use of this N9 loop is REQUIRED.</i></p> <p><i>When portions of the application are being transmitted as objects using transaction set 102, use code OIC in N901. Provide the TS 102 , Associated Object Reference Identification, in N902, and identify the portion of the application in N903.</i></p> |

Data Element Summary

| Ref. | Data | Attributes |
|--------------------|--|--|
| <u>Des.</u> | <u>Element</u> <u>Name</u> | <u>ID</u> |
| M | N901 | 128 |
| | Reference Identification Qualifier | M ID 2/3 |
| | Code qualifying the Reference Identification | |
| | 2S | Catalog |
| | | <i>Use to indicate the primary Catalog of Federal Domestic Assistance program number applicable to this application.</i> |
| | 4W | Study |
| | | Radio Engineering Study |
| | | <i>When BGN07 is code 6A, 6C, 6N, 6R, S4 or TS, use is REQUIRED to indicate the application title. Cite the word TITLE in N903 and use the I/MTX/0800 to cite the title.</i> |
| | 6M | Application Number |
| | | <i>When BGN07 is code 6R (Resubmission), use to indicate the application number of the original submission.</i> |
| | CT | Contract Number |
| | | <i>When BGN07 is code 65, 6A, 6C, 6N, 6S, FM, or TS use is REQUIRED to indicate the award</i> |

| | | | |
|------|-----|-------------------------------|--|
| | | | <i>identification.</i> |
| | KS | Solicitation | <p>A discreet number assigned by the purchasing activity to differentiate between different solicitations</p> <p><i>Use to indicate the title of the solicitation or announcement identified in BGN06. Cite the word SOURCE in N903 and use the 1/MTX/0800 to cite the solicitation title.</i></p> |
| | L4 | Proposal Paragraph Number | <p>The place in a proposal where additional information can be found</p> <p><i>Use to identify a special program cross-cut type of grant application. Use one of the codes listed in N902.</i></p> |
| | OIC | Object Identifier | <p><i>Use to indicate that a portion of the application is being transmitted as an object using Transaction Set 102. Identify the object using N902-3.</i></p> |
| | P4 | Project Code | <p><i>Use to indicate the project number applicable to the application.</i></p> |
| | PID | Program Identification Number | <p><i>Use to indicate a code identifying a Federal program, or if a code is not known, the Federal program name. Use of a code is preferred. Cite the code in N902; cite the program name in N903.</i></p> |
| | TN | Transaction Reference Number | <p><i>Use to indicate the unique number of a related transaction set. When used, cite the unique number in N902, code 7U in N907-01, and the X12 transaction set numeric identifier in N907-02.</i></p> |
| | WK | Type of Science Code | <p><i>Use multiple occurrences of this loop as needed to indicate in N902 a keyword or thesaurus code for the area of science to which the application applies, or use N903 to provide free-form descriptive words.</i></p> |
| N902 | 127 | Reference Identification | <p>X AN 1/30</p> <p>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier</p> <p><i>When N901 is code L4 use one of the following codes J.1 - J.22:</i></p> <p>J.1 Beginning Investigator</p> <p>J.2 Small Grant For Exploratory Research</p> <p>J.4 Facilitation for Scientific & Engineers with Disabilities</p> |

J.5 *Research Opportunity Award*
J.6 *Single Investigator*
J.7 *Young Investigator*
J.8 *Small Business Innovative Research Program*
J.9 *Small Business Technology Transfer Program*
J.10 *Research Instrumentation Program*
J.11 *Historically Black College or University/Minority Institution Award*
J.12 *Agriculture Research Enrichment Award*
J.13 *Augmentation Awards for Science and Engineering Research Training*
J.14 *Defense Experimental Program to Stimulate Competitive Research*
J.15 *Experimental Program to Stimulate Competitive Research*
J.16 *Short Term Innovative Research*
J.17 *University Innovative Research*
J.18 *University Research Initiative*
J.19 *Environmental Research Initiative*
J.20 *Automatic Target Recognition*
J.21 *Infrastructure Support Instrument*
J.22 *Multi Disciplinary University Research Initiative Program*

Use to indicate the Associated Object Reference Identification when Transaction Set 102 is used to transmit a portion of the application as associated data. Use the value in ORI01 of TS 102.

| | | | | |
|-----------------|-------------|-------------|--|-------------------------|
| | N903 | 369 | Free-form Description Free-form descriptive text <i>Use to indicate the portion of the application being transmitted as associated data using Transaction Set 102.</i> | X AN 1/45 |
| Not Used | N904 | 373 | Date Date expressed as CCYYMMDD | O DT 8/8 |
| Not Used | N905 | 337 | Time Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | X TM 4/8 |
| Not Used | N906 | 623 | Time Code Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow | O ID 2/2 |
| | N907 | C040 | Reference Identifier To identify one or more reference numbers or identification numbers as specified by the Reference Qualifier | O |

| | | | | |
|-----------------|---------------|------------|---|--------------------------------------|
| | | | <i>When N901 is code TN, use is REQUIRED to reference the applicable X12 transaction set.</i> | |
| M | C04001 | 128 | Reference Identification Qualifier | M ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| | | | 7U | Related Transaction Reference Number |
| | | | <i>When N901 is code TN, use is REQUIRED to qualify the number in N907-02 as the applicable X12 transaction set.</i> | |
| M | C04002 | 127 | Reference Identification | M AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| | | | <i>When C04001 is code 7U, use is REQUIRED to identify the X12 transaction set numeric designation, e.g. 864 to indicate an Accredited Standards Committee (ASC) X12 864 Text Message transaction set.</i> | |
| Not Used | C04003 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04004 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| Not Used | C04005 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04006 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |

| | |
|------------------------|--|
| Segment: | MTX Text |
| Position: | 0800 |
| Loop: | N9 Optional |
| Level: | Heading |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To specify textual data |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If MTX01 is present, then MTX02 is required. 2 If MTX03 is present, then MTX02 is required. 3 If MTX05 is present, then MTX04 is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 MTX05 is the number of lines to advance before printing. |
| Comments: | <ol style="list-style-type: none"> 1 If MTX04 is "AA - Advance the specific number of lines before print", then MTX05 is required. |
| Notes: | <ol style="list-style-type: none"> 1. When 1/N901/0600 is code 4W, use of this MTX segment is REQUIRED to identify the application title. 2. When 1/N901/0600 is code KS, use of this MTX segment is REQUIRED to identify the title of the Federal solicitation to which this application is responding. |

Data Element Summary

| | <u>Ref.</u> | <u>Data</u> | <u>Attributes</u> |
|----------|-------------|--|-------------------|
| | <u>Des.</u> | <u>Element</u> <u>Name</u> | |
| Not Used | MTX01 | 363 Note Reference Code | O ID 3/3 |
| | | Code identifying the functional area or purpose for which the note applies | |
| Must Use | MTX02 | 1551 Message Text | X AN 1/4096 |
| | | To transmit large volumes of message text | |
| | MTX03 | 1551 Message Text | O AN 1/4096 |
| | | To transmit large volumes of message text | |
| Not Used | MTX04 | 934 Printer Carriage Control Code | X ID 2/2 |
| | | A field to be used for the control of the line feed of the receiving printer | |
| Not Used | MTX05 | 1470 Number | O N0 1/9 |
| | | A generic number | |
| Not Used | MTX06 | 819 Language Code | O ID 2/3 |
| | | Code designating the language used in text, from a standard code list maintained by the International Standards Organization (ISO 639) | |

| | |
|------------------------|--|
| Segment: | NM1 Individual or Organizational Name |
| Position: | 0900 |
| Loop: | NM1 Optional (Must Use) |
| Level: | Heading |
| Usage: | Optional (Must Use) |
| Max Use: | 1 |
| Purpose: | To supply the full name of an individual or organizational entity |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If either NM108 or NM109 is present, then the other is required. 2 If NM111 is present, then NM110 is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 NM102 qualifies NM103. |
| Comments: | <ol style="list-style-type: none"> 1 NM110 and NM111 further define the type of entity in NM101. |
| Notes: | <ol style="list-style-type: none"> 1. <i>Use this NM1 loop only to identify the organizations and individuals associated with the business process of submitting the grant application. Use the 2/NM1/3400 segment to identify project personnel.</i> 2. <i>At least 3 iterations of this NM1 loop are REQUIRED using NM101 code BY to identify the Federal Agency to receive the application, code SE to identify the grant applicant organization, and code 1B to identify the applicant organization authorizing individual. Use the 1/PER/1400 segment to identify the Federal Agency point of contact associated with code BY.</i> 3. <i>Use this NM1 loop to indicate the organization submitting a professional profile and the Federal Agency receiving it. Two iterations of this NM1 loop are REQUIRED using code FN to identify the filing organization and code KU to identify the receiving Federal agency or database.</i> 4. <i>Whenever possible, identify the organization using only a qualifier and number in NM108/09 along with the appropriate codes in NM101/02. The organization's full address was established at the time of registration as a Federal Government trading partner. Where no qualified number is available, specify the organization's name in the NM103 (and 1/N2/1000 as needed) and the full address in 1/N3/1100-1/N4/1200.</i> |

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|--|-------------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | NM101 | 98 Entity Identifier Code | M ID 2/3 |
| | | Code identifying an organizational entity, a physical location, property or an individual | |
| | | 1B Applicant | |
| | | <i>Use is REQUIRED to indicate the grant application authorizing individual in NM103/04. This is the person associated with the grant applicant organization, code SE. Specify the authorizing individual's address in 1/N3/1100 - 1/N4/1200 if different from the grant application organization,</i> | |

| | |
|----|---|
| | <i>code SE.</i> |
| 2C | Co-Participant <i>Use any number of iterations to indicate an additional organization (beyond the applicant [code SE]) participating in a collaborative proposal.</i> |
| AD | Party to be advised (Written orders) <i>Use to indicate the business officer for the grant applicant. Specify the business officer's address in 1/N3/1100-1/N4/1200 if different from the grant application organization, code SE.</i> |
| AZ | Previous Name <i>Use to indicate a predecessor principal investigator in the previous award.</i> |
| BY | Buying Party (Purchaser) <i>Use is REQUIRED in an application to indicate the Federal Agency to which the application is being submitted.</i> |
| FA | Facility <i>Use to indicate the principal place of performance in NM108/09 when other than the address identified with code SE. Use 2/NM101/3400 code 61 to identify the place of performance associated with each appropriate HL loop.</i> |
| FN | Filer Name <i>Use is REQUIRED in a professional profile to indicate the organization filing the professional profile(s).</i> |
| KU | Receiver Site <i>Use is REQUIRED in a professional profile to indicate the receiving Federal agency or Federal database.</i> |
| S1 | Parent <i>Use to identify the parent organization of an organization used in another iteration of this 1/NM1/0900 loop. When used, must also use NM110 and NM111.</i> |
| SE | Selling Party <i>1. Use is REQUIRED in an application (1/BGN07/0200 is code 07, 6A, 6C, 6N, 6S, TS, or S4) to indicate the grant applicant organization.</i> <i>2. When the applicant organization is applying for SBIR or STTR assistance, identify the date the for-profit company was founded in 1/DTM/0300.</i> |

| | | | | |
|----------|--------------|-------------|--|------------------|
| M | NM102 | 1065 | Entity Type Qualifier | M ID 1/1 |
| | | | Code qualifying the type of entity | |
| | | 1 | Person | |
| | | | <i>When NM101 is code AD, AZ, or 1B, use of NM103/04 is REQUIRED to indicate the name of the individual, using NM105/06/07 as needed.</i> | |
| | | 2 | Non-Person Entity | |
| | | | <i>Use with NM101 codes 2C, BY, FA, FN, KU, SI, and SE to indicate that the entity being identified is an organization.</i> | |
| | NM103 | 1035 | Name Last or Organization Name | O AN 1/60 |
| | | | Individual last name or organizational name | |
| | NM104 | 1036 | Name First | O AN 1/35 |
| | | | Individual first name | |
| | NM105 | 1037 | Name Middle | O AN 1/25 |
| | | | Individual middle name or initial | |
| | NM106 | 1038 | Name Prefix | O AN 1/10 |
| | | | Prefix to individual name | |
| | NM107 | 1039 | Name Suffix | O AN 1/10 |
| | | | Suffix to individual name | |
| | NM108 | 66 | Identification Code Qualifier | X ID 1/2 |
| | | | Code designating the system/method of code structure used for Identification Code (67) | |
| | | | <i>While the Federal EDI program uses the DUNS and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.</i> | |
| | | 1 | D-U-N-S Number, Dun & Bradstreet | |
| | | | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> | |
| | | 9 | D-U-N-S+4, D-U-N-S Number with Four Character Suffix | |
| | | | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> | |
| | | 10 | Department of Defense Activity Address Code (DODAAC) | |
| | | | <i>Use in conjunction with NM101 code BY to indicate a Department of Defense (DoD) or Civilian Agency Activity Address Code.</i> | |
| | | 33 | Commercial and Government Entity (CAGE) | |
| | | | <i>Use to indicate the specified organization's CAGE code.</i> | |

| | | | | |
|-------|-----|---------------------------------|---|------------------|
| | | SI | Standard Industry Code (SIC) <i>Use to report the North American Industry Classification System (NAICS) code or the Standard Industry Code of the applicant organization.</i> | |
| NM109 | 67 | Identification Code | | X AN 2/80 |
| | | | Code identifying a party or other code | |
| NM110 | 706 | Entity Relationship Code | | X ID 2/2 |
| | | | Code describing entity relationship | |
| | | 01 | Parent | |
| NM111 | 98 | Entity Identifier Code | | O ID 2/3 |
| | | | Code identifying an organizational entity, a physical location, property or an individual | |
| | | | <i>Use any code below to indicate the NM101 code of the organization which is subordinate to the organization identified in NM103 and/or NM108-9.</i> | |
| | | | <i>For example, if in a previous NMI iteration NM101 was code SE and NM103 was the National Institutes of Health, then this NMI could have S1 in NM101, Health and Human Services in NM103, 01 in NM110 and SE in NM111 to identify that HHS is the parent organization of NIH.</i> | |
| | | 20 | Foreign Supplier | |
| | | BY | Buying Party (Purchaser) | |
| | | FA | Facility | |
| | | SE | Selling Party | |

Segment: **N2 Additional Name Information**
Position: 1000
Loop: NM1 Optional (Must Use)
Level: Heading
Usage: Optional
Max Use: 2
Purpose: To specify additional names
Syntax Notes:
Semantic Notes:
Comments:
Notes: *Use if the name of the organization or individual cannot be fully accommodated in 1/NM103,04,05,06,07/0900.*

Data Element Summary

| | Ref. | Data | | Attributes |
|----------|--------------------|-----------------------|-------------------------------|-------------------|
| | <u>Des.</u> | <u>Element</u> | <u>Name</u> | |
| M | N201 | 93 | Name Free-form name | M AN 1/60 |
| | N202 | 93 | Name Free-form name | O AN 1/60 |

Segment: **N3 Address Information**
Position: 1100
Loop: NM1 Optional (Must Use)
Level: Heading
Usage: Optional
Max Use: 2
Purpose: To specify the location of the named party
Syntax Notes:
Semantic Notes:
Comments:

Notes: *Use to provide a street address for the organization or individual identified in 1/NM103,04,05,06,07/0900 if it cannot be provided by a code in 1/NM108,09/0900 or if it differs from the geographic information associated with the code.*

Data Element Summary

| | Ref. | Data | | Attributes |
|----------|--------------------|-----------------------|---|-------------------|
| | <u>Des.</u> | <u>Element</u> | <u>Name</u> | |
| M | N301 | 166 | Address Information Address information | M AN 1/55 |
| | N302 | 166 | Address Information Address information | O AN 1/55 |

| | |
|------------------------|--|
| Segment: | N4 Geographic Location |
| Position: | 1200 |
| Loop: | NM1 Optional (Must Use) |
| Level: | Heading |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To specify the geographic place of the named party |
| Syntax Notes: | <ol style="list-style-type: none"> 1 Only one of N402 or N407 may be present. 2 If N406 is present, then N405 is required. 3 If N407 is present, then N404 is required. |
| Semantic Notes: | |
| Comments: | <ol style="list-style-type: none"> 1 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location. 2 N402 is required only if city name (N401) is in the U.S. or Canada. |
| Notes: | <ol style="list-style-type: none"> 1. <i>Use to provide a city, state or province, postal code and other required information for a complete address for the organization or individual identified in 1/NM103,04,05,06,07/0900 if it cannot be provided by a code in 1/NM108,09/0900 or if it differs from the geographic information associated with the code.</i> 2. <i>Use only when outside United States.</i> |

Data Element Summary

| Ref. | Data | Name | Attributes |
|-------------|----------------|--|-------------------|
| Des. | Element | | |
| N401 | 19 | City Name | O AN 2/30 |
| | | Free-form text for city name | |
| N402 | 156 | State or Province Code | X ID 2/2 |
| | | Code (Standard State/Province) as defined by appropriate government agency | |
| N403 | 116 | Postal Code | O ID 3/15 |
| | | Code defining international postal zone code excluding punctuation and blanks (zip code for United States) | |
| N404 | 26 | Country Code | X ID 2/3 |
| | | Code identifying the country | |
| | | <i>Use only when outside US.</i> | |
| N405 | 309 | Location Qualifier | X ID 1/2 |
| | | Code identifying type of location | |
| | | CY County/Parish | |
| | | <i>When NM101 is code SE, use to indicate the county of the applicant as specified in the Federal Agency grant application instructions.</i> | |
| N406 | 310 | Location Identifier | O AN 1/30 |
| | | Code which identifies a specific location | |

| | | | | | |
|-----------------|-------------|-------------|--|----------|---------------|
| Not Used | N407 | 1715 | Country Subdivision Code | X | ID 1/3 |
| | | | Code identifying the country subdivision | | |

Segment: **N9** **Reference Identification**
Position: 1300
Loop: NM1 Optional (Must Use)
Level: Heading
Usage: Optional
Max Use: >1
Purpose: To transmit identifying information as specified by the Reference Identification Qualifier

Syntax Notes:

- 1 At least one of N902 or N903 is required.
- 2 If N906 is present, then N905 is required.
- 3 If either C04003 or C04004 is present, then the other is required.
- 4 If either C04005 or C04006 is present, then the other is required.

Semantic Notes:

- 1 N906 reflects the time zone which the time reflects.
- 2 N907 contains data relating to the value cited in N902.

Comments:

Notes: *Use multiple repetitions of this N9 segment as needed to identify additional numbers and information regarding organizations and individuals specified in the 1/NM1/0900 loop.*

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|-------------|---|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | N901 | 128 | Reference Identification Qualifier |
| | | | M ID 2/3 |
| | | | Code qualifying the Reference Identification |
| | | 19 | Division Identifier |
| | | | <i>1. When NM101 is code BY, use to indicate the name of the receiving Federal Agency's division or office responsible for the program to which the applicant is applying. Cite the name in N903.</i> |
| | | | <i>2. When NM101 is code SE, use to indicate the major subdivision name of the grant applicant organization. For example, School of Engineering or Adhesive Products Division. Cite the name in N903.</i> |
| | | 5C | Congressional District |
| | | | <i>When NM101 is code SE, use to indicate the Congressional District of the grant applicant.</i> |
| | | 6M | Application Number |
| | | | <i>Use only in conjunction with 1/NM101/0900 code 2C to identify the application number submitted by the additional organization participating in the collaborative proposal.</i> |
| | | CR | Customer Reference Number |
| | | | <i>When NM101 is code SE, use to indicate an</i> |

identification number assigned to the grant applicant organization by the Federal Agency receiving the application.

EI Employer's Identification Number
When NM101 is code SE, use to indicate the grant applicant's Entity Identification Number, if available, or Employer Identification Number. Transmit as a continuous number with no extraneous characters or spaces.

JD User Identification
Use to indicate the Government User Identifier. Use with NM101 codes 1B and AD to provide unique identification of the authorizing official and their representative(s).

P5 Position Code
When NM101 is code 1B or AD, use is REQUIRED to indicate the job title of the individual. Cite the title in N903.

TJ Federal Taxpayer's Identification Number
When NM101 is code SE, use to indicate the grant applicant's Federal Taxpayer's Identification Number (TIN). For individuals without a TIN, cite the individual's Social Security Account Number. Transmit as a continuous number with no extraneous characters or spaces.

URL Uniform Resource Locator

| | | | | | |
|-----------------|-------------|------------|--|----------|----------------|
| | N902 | 127 | Reference Identification | X | AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | | |
| | N903 | 369 | Free-form Description | X | AN 1/45 |
| | | | Free-form descriptive text | | |
| Not Used | N904 | 373 | Date | O | DT 8/8 |
| | | | Date expressed as CCYYMMDD | | |
| Not Used | N905 | 337 | Time | X | TM 4/8 |
| | | | Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | | |
| Not Used | N906 | 623 | Time Code | O | ID 2/2 |
| | | | Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the | | |

| | | | | |
|-----------------|---------------|-------------|--|------------------|
| | | | codes that follow | |
| | N907 | C040 | Reference Identifier | O |
| | | | To identify one or more reference numbers or identification numbers as specified by the Reference Qualifier | |
| M | C04001 | 128 | Reference Identification Qualifier | M ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| | | | DP Department Number | |
| | | | <i>When N901 is code 19, use to indicate the department, service, laboratory, or equivalent level within the major subdivision (code 19) of the grant applicant organization. For example, Department of Industrial Engineering or Sales Department.</i> | |
| M | C04002 | 127 | Reference Identification | M AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| Not Used | C04003 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04004 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| Not Used | C04005 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04006 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |

Segment: **PER** **Administrative Communications Contact**
Position: 1400
Loop: NM1 Optional (Must Use)
Level: Heading
Usage: Optional
Max Use: >1
Purpose: To identify a person or office to whom administrative communications should be directed

Syntax Notes:

- 1 If either PER03 or PER04 is present, then the other is required.
- 2 If either PER05 or PER06 is present, then the other is required.
- 3 If either PER07 or PER08 is present, then the other is required.

Semantic Notes:**Comments:**

Notes:

1. Use multiple repetitions as needed to identify communications numbers associated with individuals or organizations identified in the 1/NM1/0900 segment.
2. When 1/NM101/0900 is code 1B or AD, use is **REQUIRED**. Use is optional with codes BY and SE.

Data Element Summary

| Ref. | Data | | | |
|-------------|----------------|-------------|--|------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> | |
| M | PER01 | 366 | Contact Function Code | M ID 2/2 |
| | | | Code identifying the major duty or responsibility of the person or group named | |
| | | IC | Information Contact | |
| | PER02 | 93 | Name | O AN 1/60 |
| | | | Free-form name | |
| | | | <i>When 1/NM101/0900 is code BY or SE, use to identify the name of a point of contact. Last name, followed by first name, is preferred. If the whole name is longer than 35 characters, the use of an initial for the first name is recommended.</i> | |
| | PER03 | 365 | Communication Number Qualifier | X ID 2/2 |
| | | | Code identifying the type of communication number | |
| | | TE | Telephone | |
| | PER04 | 364 | Communication Number | X AN 1/256 |
| | | | Complete communications number including country or area code when applicable | |
| | | | <i>The telephone number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code. If an extension applies to the telephone number, concatenate the letter X plus the extension at the end of the number, e.g., 17035551212X123.</i> | |
| | PER05 | 365 | Communication Number Qualifier | X ID 2/2 |

| | | | |
|--------------|------------|--|-------------------|
| | | Code identifying the type of communication number | |
| | | FX Facsimile | |
| PER06 | 364 | Communication Number | X AN 1/256 |
| | | Complete communications number including country or area code when applicable | |
| | | <i>The fax number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code.</i> | |
| PER07 | 365 | Communication Number Qualifier | X ID 2/2 |
| | | Code identifying the type of communication number | |
| | | EM Electronic Mail | |
| PER08 | 364 | Communication Number | X AN 1/256 |
| | | Complete communications number including country or area code when applicable | |
| PER09 | 443 | Contact Inquiry Reference | O AN 1/20 |
| | | Additional reference number or description to clarify a contact number | |
| | | <i>Use to provide the office symbol, mail stop, or organization routing code of the individual cited in PER02.</i> | |

Segment: **HL** Hierarchical Level
Position: 0100
Loop: HL Mandatory
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To identify dependencies among and the content of hierarchically related groups of data segments

Syntax Notes:**Semantic Notes:**

- Comments:**
- 1** The HL segment is used to identify levels of detail information using a hierarchical structure, such as relating line-item data to shipment data, and packaging data to line-item data.
The HL segment defines a top-down/left-right ordered structure.
 - 2** HL01 shall contain a unique alphanumeric number for each occurrence of the HL segment in the transaction set. For example, HL01 could be used to indicate the number of occurrences of the HL segment, in which case the value of HL01 would be "1" for the initial HL segment and would be incremented by one in each subsequent HL segment within the transaction.
 - 3** HL02 identifies the hierarchical ID number of the HL segment to which the current HL segment is subordinate.
 - 4** HL03 indicates the context of the series of segments following the current HL segment up to the next occurrence of an HL segment in the transaction. For example, HL03 is used to indicate that subsequent segments in the HL loop form a logical grouping of data referring to shipment, order, or item-level information.
 - 5** HL04 indicates whether or not there are subordinate (or child) HL segments related to the current HL segment.

- Notes:**
- 1.** *Use this HL loop to identify project organization, personnel, technical data, and budget data associated with the application, budget or professional profile.*
 - 2.** *The transaction set hierarchy for an application (1/BGN07/0200 is code 6A, 6C, 6N, 6R, 6S, S4 or TS) as defined by this HL loop shall be:*
 - a.** *The Project (PC) loop shall be the first iteration of the HL loop.*
 - b.** *The Project loop must have at least one Key Person (26) loop to identify the principal investigator. Additional Key Person loops may be included to identify other project personnel as needed.*
 - c.** *The Project loop may have any number of subordinate Sub-project (SP), Consortium (CO), Human Subject Care Group (4), or Animal Subject (AS) loops.*
 - d.** *Sub-project and Consortium loops may have any number of subordinate Sub-project, Consortium, Key Person, human subject Care Group, or Animal Subject loops.*
 - e.** *Key Person loops may have any number of subordinate Other Support (OS) loops.*
 - f.** *Animal Subject loops may have any number of subordinate Animal Subject loops, but only if the subordinate loop contains a subset of animals of the same species.*

3. The transaction set hierarchy for a budget (1/BGN07/0200 is code 07, 65, or FM) as defined by this HL loop shall be:
- The Project (PC) loop shall be the first iteration of the HL loop.
 - The Project loop may contain any number of subordinate Sub-project (SP), Consortium (CO) loops.
 - Any Sub-project and Consortium loops may have any number of additional subordinate Sub-project, Consortium loops.
 - The Project loop (and, if any, subordinate Sub-project or Consortium loops) must consist only of one or more 2/PPL/1700 loops.
4. The transaction set hierarchy for a professional profile (1/BGN07/0200 is code FG) as defined by this HL loop shall be one or more Key Person loops, with no subordinate loops.
5. The term "project" in the following implementation notes is used generically to identify dates, quantities, etc. related to the Project and subordinate Sub-projects and/or Consortiums. The terms "Project loop", "Sub-project loop", and "Consortium loop" are not interchangeable. They are used to distinguish between the efforts and to establish the precise hierarchical relationship between them.

Data Element Summary

| | <u>Ref.</u> | <u>Data</u> | <u>Name</u> | <u>Attributes</u> |
|---|-------------|----------------|---|-------------------|
| | <u>Des.</u> | <u>Element</u> | | |
| M | HL01 | 628 | Hierarchical ID Number | M AN 1/12 |
| | | | A unique number assigned by the sender to identify a particular data segment in a hierarchical structure | |
| | | | <i>In the first iteration of this HL loop, cite the number 1. Increment by 1 for each subsequent iteration of the loop.</i> | |
| | HL02 | 734 | Hierarchical Parent ID Number | O AN 1/12 |
| | | | Identification number of the next higher hierarchical data segment that the data segment being described is subordinate to | |
| | | | <i>Use to identify the HL01 sequence number of the loop which is the parent loop to the current HL loop iteration.</i> | |
| M | HL03 | 735 | Hierarchical Level Code | M ID 1/2 |
| | | | Code defining the characteristic of a level in a hierarchical structure | |
| | | | <i>Select a code to indicate that the current HL loop iteration is one of the following loop types: Project, Sub-project, Consortium, Key Person, Other Support, Animal Subject, or human subject Care Group.</i> | |
| | | 4 | Group | |
| | | | Code identifying a group of charges on the bill | |
| | | | <i>Use to indicate a human subject Care Group loop. A Care Group loop must have the Project, a Sub-project, or a Consortium loop as its parent.</i> | |

26

Member

1. Use to indicate a Key Person loop. In an application:

a. Use one loop iteration to identify a single key person. At least one Key Person loop must be included under the project loop to identify the Principal investigator.

b. Also use this loop when the individual has active, pending or planned other support.

c. A Key Person loop must have the Project, a Sub-project, or a Consortium loop as its parent. For each Key Person with other support a subordinate Other Support loop is REQUIRED for each other support project to identify the level of support, the organization providing the support, and other related data.

2. In a professional profile, one or more single Key Person loop iterations may be used. Each Key Person loop will provide the professional profile of a single individual. The Key Person loop will be the only type of loop without any parent or subordinate loops.

AS

Animal Subject Group

Use to indicate an Animal Subject loop. An Animal Subject loop must have the Project, a Sub-project, a Consortium, or other Animal Subject loop as its parent. Animal Subject loops only apply to vertebrate animals.

CO

Consortium

Use to indicate a Consortium loop. A Consortium loop must have the Project, a Sub-project, or other Consortium loop as its parent.

OS

Support

1. In an application, use to indicate an Other Support loop subordinate to a Key Person loop.

2. One iteration of an Other Support loop is REQUIRED for EACH project (active, pending, or planned), other than a project contained in this application, to identify the level of support, the organization providing the support, and other related data. Submission of this same application to another agency requires the use of an Other

| | | | |
|-------------|------------|--|--|
| | | <i>Support loop.</i> | |
| | PC | Project Code | A part of a larger effort |
| | | <i>Use is REQUIRED in an application as the first iteration of the HL loop to identify the Project loop. Do not use in subsequent loops.</i> | |
| | SP | Sub-Project | |
| | | <i>Use to indicate a Sub-project loop. A Sub-project loop must have the Project, another Sub-project, or a Consortium loop as its parent.</i> | |
| HL04 | 736 | Hierarchical Child Code | O ID 1/1 |
| | | Code indicating if there are hierarchical child data segments subordinate to the level being described | |
| | | <i>Use to indicate whether or not there is a subordinate loop to follow.</i> | |
| | | 0 | No Subordinate HL Segment in This Hierarchical Structure. |
| | | 1 | Additional Subordinate HL Data Segment in This Hierarchical Structure. |

| | |
|------------------------|---|
| Segment: | QTY Quantity |
| Position: | 0200 |
| Loop: | HL Mandatory |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To specify quantity information |
| Syntax Notes: | 1 At least one of QTY02 or QTY04 is required. 2 Only one of QTY02 or QTY04 may be present. |
| Semantic Notes: | 1 QTY04 is used when the quantity is non-numeric. |
| Comments: | |
| Notes: | <i>Use this segment only when HL03 is code PC (Project loop) or code 26 (Key Person loop).</i> |

| Data Element Summary | | | | |
|----------------------|----------------------------|-------------------------------|---|-------------------|
| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | QTY01 | 673 | Quantity Qualifier | M ID 2/2 |
| | | | Code specifying the type of quantity | |
| | | | 37 Work In Process | |
| | | | <i>When HL03 is code 26 (Key Person Loops) and BGN07 is code 6C or 6N, use on NIH renewals to identify the level of effort of the individual for the current budget period. Express as a decimal (i.e., 50% is .5).</i> | |
| | | E5 | Employed by this Company | |
| | | | <i>When HL03 is code PC (Project loop), use to indicate the number of employees in the company. Use only in Small Business Innovation Research Program (SBIR) and Small Business Technology Transfer Program (STTR) applications.</i> | |
| Must Use | QTY02 | 380 | Quantity | X R 1/15 |
| | | | Numeric value of quantity | |
| Not Used | QTY03 | C001 | Composite Unit of Measure | O |
| | | | To identify a composite unit of measure (See Figures Appendix for examples of use) | |
| Not Used | C00101 | 355 | Unit or Basis for Measurement Code | M ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00102 | 1018 | Exponent | O R 1/15 |
| | | | Power to which a unit is raised | |
| Not Used | C00103 | 649 | Multiplier | O R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | |

| | | | | |
|----------|--------|------|---|-----------|
| Not Used | C00104 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00105 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00106 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00107 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00108 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00109 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00110 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00111 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00112 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00113 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00114 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00115 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | QTY04 | 61 | Free-Form Message Free-form information | X AN 1/30 |

Segment: DTM Date/Time Reference**Position:** 0500**Loop:** HL Mandatory**Level:** Detail**Usage:** Optional**Max Use:** >1**Purpose:** To specify pertinent dates and times

- Syntax Notes:**
- 1 At least one of DTM02 DTM03 or DTM05 is required.
 - 2 If DTM04 is present, then DTM03 is required.
 - 3 If either DTM05 or DTM06 is present, then the other is required.

Semantic Notes:**Comments:**

- Notes:**
1. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop), use to indicate the planned start and stop dates for the project.
 2. When HLO3 is code OS (Other Support) use to indicate the date of submission for the active or pending other support project proposal.

Data Element Summary

| | Ref. | Data | | | |
|----------|-------------|----------------|---|--|-------------------|
| | <u>Des.</u> | <u>Element</u> | <u>Name</u> | | <u>Attributes</u> |
| M | DTM01 | 374 | Date/Time Qualifier | | M ID 3/3 |
| | | | Code specifying type of date or time, or both date and time | | |
| | | 193 | Period Start | | |
| | | | <i>Use to indicate the planned start date.</i> | | |
| | | 194 | Period End | | |
| | | | <i>Use to indicate the planned completion date.</i> | | |
| | | 432 | Submission | | |
| | | | Date on which claim billing information was sent to payer | | |
| | | | <i>When HL03 is code OS, use to indicate the submission date for active or pending Other Support.</i> | | |
| | | 582 | Report Period | | |
| | | | <i>Use to indicate the reporting period in DTM05/06.</i> | | |
| Must Use | DTM02 | 373 | Date | | X DT 8/8 |
| | | | Date expressed as CCYYMMDD | | |
| Not Used | DTM03 | 337 | Time | | X TM 4/8 |
| | | | Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | | |
| Not Used | DTM04 | 623 | Time Code | | O ID 2/2 |

Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow

DTM05 1250 Date Time Period Format Qualifier X ID 2/3

Code indicating the date format, time format, or date and time format

RD8 Range of Dates Expressed in Format CCYYMMDD-CCYYMMDD

A range of dates expressed in the format CCYYMMDD-CCYYMMDD where CCYY is the numerical expression of the century CC and year YY, MM is the numerical expression of the month within the year, and DD is the numerical expression of the day within the year; the first occurrence of CCYYMMDD is the beginning date and the second occurrence is the ending date

DTM06 1251 Date Time Period X AN 1/35

Expression of a date, a time, or range of dates, times or dates and times

Use in conjunction with DTM01 code 582. Express the reporting period in CCYYMMDD-CCYYMMDD format.

| | |
|------------------------|--|
| Segment: | PAM Period Amount |
| Position: | 0600 |
| Loop: | HL Mandatory |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To indicate a quantity, and/or amount for an identified period |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If any of PAM01 PAM02 or PAM03 is present, then all are required. 2 At least one of PAM02 PAM05 or PAM14 is required. 3 If either PAM04 or PAM05 is present, then the other is required. 4 If either PAM06 or PAM07 is present, then the other is required. 5 If PAM07 is present, then at least one of PAM08 or PAM09 is required. 6 If PAM07 is present, then PAM06 is required. 7 If PAM08 is present, then PAM07 is required. 8 If PAM09 is present, then PAM07 is required. 9 If PAM10 is present, then at least one of PAM11 or PAM12 is required. 10 If PAM11 is present, then PAM10 is required. 11 If either PAM13 or PAM14 is present, then the other is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 PAM10, PAM11, or PAM12 are used when two dates are required. 2 PAM15 indicates whether the monetary amount identified in PAM05 is a net or gross value. A "Y" indicates amount is a gross value; an "N" indicates amount is a net value. |
| Comments: | |
| Notes: | <p><i>1. When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop), use of this segment is REQUIRED to identify the planned duration of the project.</i></p> <p><i>2. When HL03 is code OS (Other Support loop), one occurrence of this segment is REQUIRED to identify the other support project: type (active, pending, or planned), funding (total or direct costs), duration, and start/stop dates. It may also identify the average level of effort on the other support project for the individual identified in the parent Key Person loop.</i></p> <p><i>3. One or two additional occurrences may be used to identify the number of months of support for the individual by period.</i></p> |

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|--|-------------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| Must Use | PAM01 | 673 Quantity Qualifier | X ID 2/2 |
| | | Code specifying the type of quantity | |
| | | 37 Work In Process | |
| | | <i>When HL03 is code OS (Other Support loop), use to indicate the duration of the ACTIVE (funded) other support project.</i> | |
| | | A3 Most Likely Duration | |

Most likely amount of time needed to complete a task or activity

1. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop), use is REQUIRED to indicate the planned duration of a project.

2. When HL03 is code OS (Other Support) use to indicate the duration of the PENDING other support project.

AY

Forecast

When HL03 is code OS (Other Support loop), use to indicate the duration of the PLANNED other support project.

E3

Employed on this job

1. When HL03 is code OS (Other Support loop), use to indicate the number of months of other support to be received by the individual in the period correlating to the first year of the application currently being submitted. Use either one or two occurrences as needed. If this code is used, PAM06-08 must also be used.

2. Use only in additional occurrences of the PAM segment which follow a PAM segment in which one of PAM01 codes 37, A3 or AY is being used.

| | | | | | |
|----------|--------|------|--|---|--------|
| Must Use | PAM02 | 380 | Quantity | X | R 1/15 |
| | | | Numeric value of quantity | | |
| Must Use | PAM03 | C001 | Composite Unit of Measure | X | |
| | | | To identify a composite unit of measure (See Figures Appendix for examples of use) | | |
| M | C00101 | 355 | Unit or Basis for Measurement Code | M | ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | | |
| | | | MO Months | | |
| Not Used | C00102 | 1018 | Exponent | O | R 1/15 |
| | | | Power to which a unit is raised | | |
| Not Used | C00103 | 649 | Multiplier | O | R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | | |
| Not Used | C00104 | 355 | Unit or Basis for Measurement Code | O | ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | | |
| Not Used | C00105 | 1018 | Exponent | O | R 1/15 |
| | | | Power to which a unit is raised | | |

| | | | | |
|----------|--------|------|---|----------|
| Not Used | C00106 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00107 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00108 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00109 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00110 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00111 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00112 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00113 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00114 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00115 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| | PAM04 | 522 | Amount Qualifier Code Code to qualify amount | X ID 1/3 |

When HL03 is code OS (Other Support) and PAM01 is one of 37, A3, or AY use either code 80 or code F.

80

Funding - Total Requirements

The estimate of total fund requirements for contract work authorized and forecast

Use to indicate the total award amount:

1. When HL03 is code OS (Other Support loop) and PAM01 is code 37, use to indicate the amount for the active project.

2. When HL03 is code OS (Other Support loop) and PAM01 is code A3, use to indicate the amount for the pending project.

3. When HL03 is code OS (Other Support loop) and PAM01 is code AY, use to indicate the amount for the planned project.

| | | | | |
|-------|-----|---|---|--------|
| | | F | Annual Limit | |
| | | | <i>Use to indicate the annual direct costs for the applicable year:</i> | |
| | | | <i>1. When HL03 is code OS (Other Support loop) and PAM01 is code 37, use to indicate the amount for the active project</i> | |
| | | | <i>2. When HL03 is code OS (Other Support loop) and PAM01 is code A3, use to indicate the amount for the pending project.</i> | |
| | | | <i>3. When HL03 is code OS (Other Support loop) and PAM01 is code AY, use to indicate the amount for the planned project.</i> | |
| PAM05 | 782 | Monetary Amount | X | R 1/18 |
| | | Monetary amount | | |
| | | <i>Amount in U.S. currency.</i> | | |
| PAM06 | 344 | Unit of Time Period or Interval | X | ID 2/2 |
| | | Code indicating the time period or interval | | |
| | | <i>1. When HL03 is code OS (Other Support loop) and PAM01 is one of codes 37, A3 or AY, use to identify the type of time period for the other support project.</i> | | |
| | | <i>2. When HL03 is code OS (Other Support loop) and PAM01 is code E3, must use to identify the type of time period for which the individual receives other support.</i> | | |
| | | AP | Academic Period | |
| | | | <i>Use to indicate an academic period.</i> | |
| | | CC | Cycles | |
| | | | Periodic cycling of extreme levels of a variable | |
| | | | <i>Use to indicate a total Other Support project period when not an academic period, summer period or an annual period.</i> | |
| | | CY | Calendar Year | |
| | | | <i>Use to indicate an annual period.</i> | |
| | | SP | Summer Period | |
| | | | <i>Use to indicate a summer period.</i> | |
| PAM07 | 374 | Date/Time Qualifier | X | ID 3/3 |
| | | Code specifying type of date or time, or both date and time | | |
| | | 193 | Period Start | |
| | | | <i>1. When HL03 is code OS (Other Support loop) and PAM01 is code 37, A3, or AY, use to indicate</i> | |

the actual or estimated start of the other support project.

2. When HL03 is code OS (Other Support loop) and PAM01 is code E3, use to indicate the actual or estimated start period of individual's other support.

| | | | | |
|-----------------|--------------|-------------|---|-----------------|
| | PAM08 | 373 | Date | X DT 8/8 |
| | | | Date expressed as CCYYMMDD | |
| Not Used | PAM09 | 337 | Time | X TM 4/8 |
| | | | Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | |
| | PAM10 | 374 | Date/Time Qualifier | X ID 3/3 |
| | | | Code specifying type of date or time, or both date and time | |
| | | 194 | Period End | |
| | | | <p><i>1. When HL03 is code OS (Other Support loop) and PAM01 is either code 37, A3, or AY use to indicate the date that other support project is anticipated to end.</i></p> <p><i>2. Do not use with PAM01 code E3.</i></p> | |
| | PAM11 | 373 | Date | X DT 8/8 |
| | | | Date expressed as CCYYMMDD | |
| Not Used | PAM12 | 337 | Time | X TM 4/8 |
| | | | Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | |
| | PAM13 | 1004 | Percent Qualifier | X ID 1/2 |
| | | | Code to qualify percent | |
| | | 14 | Availability Factor | |
| | | | A resource availability percentage | |
| | | | <p><i>When PAM01 is code 37, A3, or AY, use to indicate the average level of effort to be dedicated to the other support project if less than full time (100%) for the individual identified in the parent Key Person loop.</i></p> | |
| | PAM14 | 954 | Percent | X R 1/10 |
| | | | Percentage expressed as a decimal | |
| | | | <p><i>Cite .5 to indicate 50% (one-half time); cite .755 to indicate 75.5%.</i></p> | |

| | | | | |
|-----------------|--------------|-------------|---|-----------------|
| Not Used | PAM15 | 1073 | Yes/No Condition or Response Code | O ID 1/1 |
| | | | Code indicating a Yes or No condition or response | |

Segment: **NX1** Property or Entity Identification
Position: 0800
Loop: HL Mandatory
Level: Detail
Usage: Optional
Max Use: >1
Purpose: To define the attributes of a property or an entity
Syntax Notes:
Semantic Notes:
Comments:

- Notes:**
1. When HL03 is code PC (Project loop), a single occurrence of this segment is **REQUIRED** to identify the type of organization submitting the application.
 2. Use, as applicable, when HL03 is code SP (Sub-project loop) or CO (Consortium loop).

Data Element Summary

| Ref. | Data | | | |
|-------------|----------------|-------------|--|----------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> | |
| M | NX101 | 98 | Entity Identifier Code | M ID 2/3 |
| | | | Code identifying an organizational entity, a physical location, property or an individual | |
| | | | <i>Use ALL listed codes that apply. Cite the applicable codes in NX101/02/03/04/05, as needed.</i> | |
| | | 21 | Small Business | |
| | | 22 | Minority-Owned Business, Small | |
| | | | <i>Use to indicate a minority business which is at least 51 percent owned by one or more minority or disadvantaged individuals or, in the case of publicly owned business, have at least 51 percent of the voting stock owned by one or more minority or disadvantaged individuals; and one whose management and daily business operations are controlled by one or more such individuals.</i> | |
| | | 27 | Small Disadvantaged Business | |
| | | 2F | State | |
| | | | <i>Use to indicate a state government-owned entity. Includes school grades K-12. Use in conjunction with code M8 to indicate institutions of higher education, such as state universities and colleges.</i> | |
| | | 2J | Individual | |
| | | 2R | Federal Facility | |
| | | | <i>Use to indicate a Federally owned facility.</i> | |
| | | 80 | Hospital | |

| | |
|-----|---|
| | An institution where the ill or injured may receive medical treatment |
| 8E | Minority Institution <i>Use to indicate the organization is also an institution of higher education and code HB does not apply. If the institution is publicly-owned, use in conjunction with one of the following codes: 2F, 2R, C6, C7, and C8; otherwise, the institution will be considered to be privately-owned.</i> |
| 95 | Research Institute <i>Also use code 2F, 2R, C6, C7, or C8 if the institution is publicly-owned.</i> |
| A2 | Woman-Owned Business A business (not defined as large or small) that is owned by a woman |
| A6 | Section 8(a) Program Participant Firm A firm participating in a program (under Section 8 (a) of the Small Business Act (15 U.S.C. 637 (a)), in which the Small Business Administration enters into contracts on behalf of, and then subcontracts with, the participating firm, certifying the firm's competence and responsibility |
| A8 | Nonprofit Institution A business that by operation of policy or law does not choose (or is not allowed) to make a profit from the efforts of its enterprise <i>1. Use to indicate a nonprofit entity not otherwise identified by a listed code.</i> <i>2. Also may be used with other codes to indicate that the entity is a nonprofit organization. If this code is not used in conjunction with another code, that entity will be assumed to be for-profit. Do not use with codes 2F, 2R, C6, C7, C8, X6, or XY.</i> |
| ABS | Founder <i>Use to indicate 1890 Land Grant College in USDA -CSREES applications.</i> |
| ACU | Group Affiliation <i>Use to indicate Tribal College (other than 1994) in USDA-CSREES applications.</i> |
| B2 | Other Unlisted Type of Organizational Entity An organization, e.g., a business, the description of which cannot be accomplished using the existing code list and for which the trading partners have not mutually agreed to a definition for it |

| | |
|-----|--|
| | <i>Use to indicate an organizational entity type not included in other available codes (e.g., a Federally Funded Research and Development Center [FFRDC]). This code may be used in conjunction with code A8 but not other codes.</i> |
| B9 | Large Business A business entity that cannot be classified as a small business for purposes of receiving preferential treatment in the award of contracts |
| BZ | Business Associate <i>Use to indicate a Foundation; an organization, closely affiliated with but separately incorporated from another organization, established to facilitate the administration of research and other programs supported by Federal funds.</i> |
| C6 | Municipality <i>Use to indicate a local government-owned entity. Includes boroughs, townships and organizations managing school grades K-12. Also use this code in conjunction with code M8 to indicate a local government-owned institution of higher education.</i> |
| C7 | County <i>Use to indicate a local government-owned entity. Includes organizations managing school grades K-12. Also use this code in conjunction with code M8 to indicate a local government-owned institution of higher education.</i> |
| C8 | City <i>Use to indicate a local government-owned entity. Includes organizations managing school grades K-12. Also use this code in conjunction with code M8 to indicate a local government-owned institution of higher education.</i> |
| ENR | Enroller <i>Use to indicate 1862 Land Grant College in USDA-CSREES applications.</i> |
| FY | Veterinary Hospital |
| GW | Group <i>Use to indicate Hispanic-Serving Institution in USDA-CSREES applications.</i> |
| H2 | Sub-Office <i>Use to indicate that the organization submitting the application is a part of the same federal agency as the awarding organization. Use only in</i> |

| | |
|-----|---|
| | <i>conjunction with any of codes 2R, 80, 95, or M8.</i> |
| H6 | School District |
| HB | Historically Black College or University An educational institution of higher learning with a historical black student population. <i>If the institution is publicly-owned, use in conjunction with one of the following codes: 2F, 2R, C6, C7, C8; otherwise, the institution will be considered to be privately-owned.</i> |
| HT | State Chartered Facility <i>Use to indicate 1994 Land Grant College in USDA-CSREES applications.</i> |
| IAA | Business Entity <i>Use to indicate Cooperative Extension Service in USDA-CSREES applications.</i> |
| J9 | Community Agent <i>Use to indicate a Community Action Agency.</i> |
| KM | Coordinator <i>Use to indicate a Planning Commission.</i> |
| M8 | Educational Institution <i>The organization is also an institution of higher education. If the institution is publicly-owned, use in conjunction with one of the following codes: 2F, 2R, C6, C7, C8; otherwise, the institution will be considered to be privately-owned.</i> |
| QU | Veterinarian <i>Use in conjunction with code M8 to identify a veterinary college.</i> |
| T4 | Transfer Point A geographic location where a shipment is transferred or diverted to a new destination <i>Use to indicate a Port Authority.</i> |
| TR | Terminal <i>Use to indicate an Airport Authority.</i> |
| TW | Transit Authority |
| UD | Region <i>Use to indicate a Council of Governments.</i> |
| X6 | International Organization |
| X8 | Hispanic Service Institute |
| XY | Tribal Government <i>Use to indicate an American Indian organization which is not a business.</i> |

XZ American Indian-Owned Business
 ZW Field

***Use to indicate School of Forestry in USDA
 -CSREES applications.***

NX102 98 Entity Identifier Code O ID 2/3

Code identifying an organizational entity, a physical location, property or an individual

Notes associated with specific codes in NX101, are applicable to the same codes in this data element.

| | |
|-----|--|
| 21 | Small Business |
| 22 | Minority-Owned Business, Small |
| 23 | Minority-Owned Business, Large |
| 27 | Small Disadvantaged Business |
| 2F | State |
| 2J | Individual |
| 2R | Federal Facility |
| 80 | Hospital |
| | An institution where the ill or injured may receive medical treatment |
| 8E | Minority Institution |
| 95 | Research Institute |
| A2 | Woman-Owned Business |
| | A business (not defined as large or small) that is owned by a woman |
| A6 | Section 8(a) Program Participant Firm |
| | A firm participating in a program (under Section 8 (a) of the Small Business Act (15 U.S.C. 637 (a)), in which the Small Business Administration enters into contracts on behalf of, and then subcontracts with, the participating firm, certifying the firm's competence and responsibility |
| A8 | Nonprofit Institution |
| | A business that by operation of policy or law does not choose (or is not allowed) to make a profit from the efforts of its enterprise |
| ABS | Founder |
| ACU | Group Affiliation |
| B2 | Other Unlisted Type of Organizational Entity |
| | An organization, e.g., a business, the description of which cannot be accomplished using the existing code list and for which the trading partners have not mutually agreed to a definition for it |
| B9 | Large Business |

| | |
|-----|--|
| | A business entity that cannot be classified as a small business for purposes of receiving preferential treatment in the award of contracts |
| BZ | Business Associate |
| C6 | Municipality |
| C7 | County |
| C8 | City |
| ENR | Enroller |
| FY | Veterinary Hospital |
| GW | Group |
| H2 | Sub-Office |
| H6 | School District |
| HB | Historically Black College or University |
| | An educational institution of higher learning with a historical black student population. |
| HT | State Chartered Facility |
| IAA | Business Entity |
| J9 | Community Agent |
| | <i>Use to indicate a Community Action Agency.</i> |
| KM | Coordinator |
| M8 | Educational Institution |
| QU | Veterinarian |
| T4 | Transfer Point |
| | A geographic location where a shipment is transferred or diverted to a new destination |
| TR | Terminal |
| TW | Transit Authority |
| UD | Region |
| X6 | International Organization |
| X8 | Hispanic Service Institute |
| XY | Tribal Government |
| XZ | American Indian-Owned Business |
| ZW | Field |

NX103**98****Entity Identifier Code****O ID 2/3**

Code identifying an organizational entity, a physical location, property or an individual

Notes associated with specific codes in NX101, are applicable to the same codes in this data element.

| | |
|----|--------------------------------|
| 1F | Alliance |
| 21 | Small Business |
| 22 | Minority-Owned Business, Small |
| 23 | Minority-Owned Business, Large |

| | |
|-----|--|
| 27 | Small Disadvantaged Business |
| 2F | State |
| 2J | Individual |
| 2R | Federal Facility |
| 80 | Hospital |
| | An institution where the ill or injured may receive medical treatment |
| 8E | Minority Institution |
| 95 | Research Institute |
| A2 | Woman-Owned Business |
| | A business (not defined as large or small) that is owned by a woman |
| A6 | Section 8(a) Program Participant Firm |
| | A firm participating in a program (under Section 8 (a) of the Small Business Act (15 U.S.C. 637 (a)), in which the Small Business Administration enters into contracts on behalf of, and then subcontracts with, the participating firm, certifying the firm's competence and responsibility |
| A8 | Nonprofit Institution |
| | A business that by operation of policy or law does not choose (or is not allowed) to make a profit from the efforts of its enterprise |
| ABS | Founder |
| ACU | Group Affiliation |
| B2 | Other Unlisted Type of Organizational Entity |
| | An organization, e.g., a business, the description of which cannot be accomplished using the existing code list and for which the trading partners have not mutually agreed to a definition for it |
| B9 | Large Business |
| | A business entity that cannot be classified as a small business for purposes of receiving preferential treatment in the award of contracts |
| BZ | Business Associate |
| C6 | Municipality |
| C7 | County |
| C8 | City |
| FY | Veterinary Hospital |
| GW | Group |
| H2 | Sub-Office |
| H6 | School District |
| HB | Historically Black College or University |
| | An educational institution of higher learning with a |

| | |
|-----|--|
| | historical black student population. |
| HT | State Chartered Facility |
| IAA | Business Entity |
| J9 | Community Agent |
| | <i>Use to indicate a Community Action Agency.</i> |
| KM | Coordinator |
| M8 | Educational Institution |
| QU | Veterinarian |
| T4 | Transfer Point |
| | A geographic location where a shipment is transferred or diverted to a new destination |
| TR | Terminal |
| TW | Transit Authority |
| UD | Region |
| X6 | International Organization |
| X8 | Hispanic Service Institute |
| XY | Tribal Government |
| XZ | American Indian-Owned Business |
| ZW | Field |

NX104 98 Entity Identifier Code O ID 2/3

Code identifying an organizational entity, a physical location, property or an individual

Notes associated with specific codes in NX101, are applicable to the same codes in this data element.

| | |
|----|--|
| 21 | Small Business |
| 22 | Minority-Owned Business, Small |
| 23 | Minority-Owned Business, Large |
| 27 | Small Disadvantaged Business |
| 2F | State |
| 2J | Individual |
| 2R | Federal Facility |
| 80 | Hospital |
| | An institution where the ill or injured may receive medical treatment |
| 8E | Minority Institution |
| 95 | Research Institute |
| A2 | Woman-Owned Business |
| | A business (not defined as large or small) that is owned by a woman |
| A6 | Section 8(a) Program Participant Firm |
| | A firm participating in a program (under Section 8 (a) of the Small Business Act (15 U.S.C. 637 (a)), in |

| | |
|-----|--|
| | which the Small Business Administration enters into contracts on behalf of, and then subcontracts with, the participating firm, certifying the firm's competence and responsibility |
| A8 | Nonprofit Institution A business that by operation of policy or law does not choose (or is not allowed) to make a profit from the efforts of its enterprise |
| ABS | Founder |
| ACU | Group Affiliation |
| B2 | Other Unlisted Type of Organizational Entity An organization, e.g., a business, the description of which cannot be accomplished using the existing code list and for which the trading partners have not mutually agreed to a definition for it |
| B9 | Large Business A business entity that cannot be classified as a small business for purposes of receiving preferential treatment in the award of contracts |
| BZ | Business Associate |
| C6 | Municipality |
| C7 | County |
| C8 | City |
| ENR | Enroller |
| FY | Veterinary Hospital |
| GW | Group |
| H2 | Sub-Office |
| H6 | School District |
| HB | Historically Black College or University An educational institution of higher learning with a historical black student population. |
| HT | State Chartered Facility |
| IAA | Business Entity |
| J9 | Community Agent <i>Use to indicate a Community Action Agency.</i> |
| KM | Coordinator |
| M8 | Educational Institution |
| QU | Veterinarian |
| T4 | Transfer Point A geographic location where a shipment is transferred or diverted to a new destination |
| TR | Terminal |
| TW | Transit Authority |

| | |
|----|--------------------------------|
| UD | Region |
| X6 | International Organization |
| X8 | Hispanic Service Institute |
| XY | Tribal Government |
| XZ | American Indian-Owned Business |
| ZW | Field |

NX105 98 Entity Identifier Code O ID 2/3

Code identifying an organizational entity, a physical location, property or an individual

Notes associated with specific codes in NX101, are applicable to the same codes in this data element.

| | |
|-----|--|
| 21 | Small Business |
| 22 | Minority-Owned Business, Small |
| 23 | Minority-Owned Business, Large |
| 27 | Small Disadvantaged Business |
| 2F | State |
| 2J | Individual |
| 2R | Federal Facility |
| 80 | Hospital |
| | An institution where the ill or injured may receive medical treatment |
| 8E | Minority Institution |
| 95 | Research Institute |
| A2 | Woman-Owned Business |
| | A business (not defined as large or small) that is owned by a woman |
| A6 | Section 8(a) Program Participant Firm |
| | A firm participating in a program (under Section 8 (a) of the Small Business Act (15 U.S.C. 637 (a)), in which the Small Business Administration enters into contracts on behalf of, and then subcontracts with, the participating firm, certifying the firm's competence and responsibility |
| A8 | Nonprofit Institution |
| | A business that by operation of policy or law does not choose (or is not allowed) to make a profit from the efforts of its enterprise |
| ABS | Founder |
| ACU | Group Affiliation |
| B2 | Other Unlisted Type of Organizational Entity |
| | An organization, e.g., a business, the description of which cannot be accomplished using the existing code list and for which the trading partners have not |

| | |
|-----|--|
| | mutually agreed to a definition for it |
| B9 | Large Business A business entity that cannot be classified as a small business for purposes of receiving preferential treatment in the award of contracts |
| BZ | Business Associate |
| C6 | Municipality |
| C7 | County |
| C8 | City |
| ENR | Enroller |
| FY | Veterinary Hospital |
| GW | Group |
| H2 | Sub-Office |
| H6 | School District |
| HB | Historically Black College or University An educational institution of higher learning with a historical black student population. |
| HT | State Chartered Facility |
| IAA | Business Entity |
| J9 | Community Agent <i>Use to indicate a Community Action Agency.</i> |
| KM | Coordinator |
| M8 | Educational Institution |
| QU | Veterinarian |
| T4 | Transfer Point A geographic location where a shipment is transferred or diverted to a new destination |
| TR | Terminal |
| TW | Transit Authority |
| UD | Region |
| X6 | International Organization |
| X8 | Hispanic Service Institute |
| XY | Tribal Government |
| XZ | American Indian-Owned Business |
| ZW | Field |

Segment: **YNQ** Yes/No Question
Position: 0900
Loop: HL Mandatory
Level: Detail
Usage: Optional
Max Use: >1
Purpose: To identify and answer yes and no questions, including the date, time, and comments further qualifying the condition

Syntax Notes:

- 1 Only one of YNQ01 YNQ09 or YNQ10 may be present.
- 2 If either YNQ03 or YNQ04 is present, then the other is required.
- 3 If YNQ09 is present, then YNQ08 is required.

Semantic Notes:

- 1 YNQ02 confirms or denies the statement made in YNQ01, YNQ09 or YNQ10. A "Y" indicates the statement is confirmed; an "N" indicates the statement is denied.
- 2 YNQ10 contains a free-form question when codified questions are not available.

Comments:

Notes: *When HL03 is code PC (Project loop), use this segment to indicate Yes/No conditions regarding the grant applicant and, where necessary, to provide explanations.*

Data Element Summary

| Ref. | Data | Attributes |
|--------------------|-----------------------------------|--|
| <u>Des.</u> | <u>Element</u> <u>Name</u> | |
| Must Use | YNQ01 | X ID 2/2 |
| | 1321 | Condition Indicator |
| | | Code indicating a condition |
| | | <ol style="list-style-type: none"> 1. <i>Use codes only when the organization's response to the question matches the criteria in the code note.</i> 2. <i>When a code is used, use YNQ05/06/07 to provide explanations.</i> |
| | 5E | Medical Treatment |
| | | <ol style="list-style-type: none"> 1. <i>Use in NIH proposals to indicate a change in the use of human subjects.</i> 2. <i>If answer in YNQ02 is "Yes", explain in YNQ05/06/07.</i> 3. <i>If answer is "No" or "Not Applicable" indicate N or W in YNQ02.</i> |
| | 6G | Work Status |
| | | <ol style="list-style-type: none"> 1. <i>Use in NIH proposals to indicate a change in the use of animal subjects.</i> 2. <i>If answer in YNQ02 is "Yes", explain in YNQ05/06/07.</i> |

| | |
|----|---|
| | <p>3. If answer is "No" or "Not Applicable" indicate N or W in YNQ02.</p> |
| C8 | <p>Special Servicing Required</p> <p>1. Does the project require review for activities that have possible national security implications?</p> <p>2. If answer in YNQ02 is "Yes", explain in YNQ05/06/07.</p> <p>3. If answer is "No" or "Not Applicable" indicate N or W in YNQ02.</p> |
| CX | <p>Certification Status</p> <p>1. Organization Certifies Compliance with the Pro-Children's Act.</p> <p>2. Use Y, N, or W as appropriate in YNQ02.</p> |
| FG | <p>Application is Certified</p> <p>1. The applicant certifies compliance with all applicable assurances identified on the Standard Form 424b.</p> <p>2. Use Y, N, or W as appropriate in YNQ02.</p> <p>3. If answer is "No", provide explanation in YNQ05/06/07.</p> |
| G3 | <p>Hazardous Materials are Used or Produced</p> <p>1. Are hazardous materials used or produced in the project?</p> <p>2. Use Y, N, or W as appropriate in YNQ02.</p> |
| G4 | <p>Genetically Engineered Organisms are Used or Produced</p> <p>1. Are genetically engineered organisms used or produced in the project?</p> <p>2. Use Y, N, or W as appropriate in YNQ02.</p> |
| G6 | <p>Historical Sites Are Affected</p> <p>1. Are historical sites affected by the project?</p> <p>2. Use Y, N, or W as appropriate in YNQ02.</p> <p>3. If answer is "Yes", provide explanation in</p> |

| | |
|----|--|
| | YNQ05/06/07. |
| G7 | <p>Facilities are Properly Accredited or Authorized</p> <p><i>1. Are facilities properly accredited/authorized for this project?</i></p> <p><i>2. Use Y, N, or W as appropriate in YNQ02.</i></p> <p><i>3. If answer is "No", provide explanation in YNQ05/06/07.</i></p> |
| G8 | <p>Proprietary or Privileged Information will be contained in the Application</p> <p><i>1. Is proprietary/privileged information included in the application?</i></p> <p><i>2. Use Y, N, or W as appropriate in YNQ02.</i></p> |
| G9 | <p>This Project is in Violation of an Environmental Compliance Regulation</p> <p><i>1. Does this project have an actual or potential impact on the environment or has an exemption been authorized?</i></p> <p><i>2. Use Y, N, or W as appropriate in YNQ02.</i></p> <p><i>3. If answer is "Yes", provide explanation in YNQ05/06/07.</i></p> |
| H0 | <p>Organization Certifies Compliance with Federal Lobbying Regulations</p> <p><i>1. Does the proposing organization certify that no Federal appropriated funds have been paid or will be paid compliance with Federal Lobbying Regulations?</i></p> <p><i>2. Title 31 USC 1352 prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a specific grant or cooperative agreement. 31 USC 1352 requires this certification in all award documents for awardees and sub-awardees.</i></p> <p><i>3. Use Y, N, or W as appropriate in YNQ02.</i></p> <p><i>4. If answer is "No", provide explanation in YNQ05/06/07.</i></p> |

| | |
|----|---|
| H1 | <p>Project involves the International Co-operative Act</p> <p><i>1. Does this project involve international cooperative activities?</i></p> <p><i>2. Use Y, N, or W as appropriate in YNQ02.</i></p> |
| H4 | <p>Lobbying Activities Have Been Conducted Regarding the Proposal</p> <p><i>1. Have lobbying activities been conducted regarding the application?</i></p> <p><i>2. Title 31 USC 1352 requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements exceeding \$100,000 in total costs.</i></p> <p><i>3. Use Y, N, or W as appropriate in YNQ02.</i></p> <p><i>4. If answer is "Yes", provide explanation in YNQ05/06/07.</i></p> |
| H5 | <p>Organization Certifies Compliance With the Drug-Free Workplace Act</p> <p><i>1. Does the organization certify compliance with the Drug-Free Workplace Act of 1988?</i></p> <p><i>2. Use Y, N, or W as appropriate in YNQ02.</i></p> <p><i>3. If answer is "No", provide explanation in YNQ05/06/07.</i></p> |
| H6 | <p>Organization Certifies Compliance with the Code of Federal Regulations Regarding Research Misconduct</p> <p><i>1. Does the organization certify compliance with the Code of Federal Regulations "Responsibility for Public Health Service (PHS) Awardee and Applicant Institutions for Dealing with and Reporting Possible Misconduct in Science" (42 CFR 50 Subpart A)?</i></p> <p><i>2. Use Y, N, or W as appropriate in YNQ02.</i></p> <p><i>3. If answer is "No", provide explanation in YNQ05/06/07.</i></p> |
| H7 | <p>Organization Provides a Smoke Free Workplace</p> <p><i>1. Does the organization currently provide a smoke</i></p> |

| | |
|----|--|
| | <i>-free workplace and/or promote the non-use of tobacco products, or have plans to do so?</i> |
| | 2. Use Y, N, or W as appropriate in YNQ02. |
| H8 | Organization Certifies Compliance with Federal Discrimination Regulations |
| | 1. Does the organization certify compliance with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, and the Age Discrimination Act of 1975? |
| | 2. Use Y, N, or W as appropriate in YNQ02. |
| H9 | Organization Certifies Compliance with the Code of Federal Regulations Regarding Responsibility of Applicants for Promoting Objectivity in Research for which Public Health Service (PHS) Funding is Sought |
| | 1. Does the organization certify compliance with the Code of Federal Regulations "Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought" (42 CFR 50, Subpart F) or National Science Foundation Financial Disclosure Policy (National Science Foundation (NSF) Grant Policy Manual, Section 510)? |
| | 2. Use Y, N, or W as appropriate in YNQ02. |
| | 3. If answer is "No", provide explanation in YNQ05/06/07. |
| I7 | Organization has Delinquent Federal Debts |
| | 1. Does the organization have any delinquent Federal debts? |
| | 2. Use either Y or N in YNQ02. |
| | 3. If answer is "Yes", provide explanation in YNQ05/06/07. |
| I8 | Organization has been Placed on the Federal Debarment and Suspension List |
| | 1. Is the organization on the List of Parties Excluded from Federal Procurement and Nonprocurement Programs or otherwise been determined NOT in compliance with Executive Orders on Debarment/Suspension? |

| | | | | |
|---|-------|------|--|--|
| | | | | <p>2. Use Y, N, or W as appropriate in YNQ02.</p> <p>3. If answer is "Yes", provide explanation in YNQ05/06/07.</p> |
| | | J1 | Military Services Barred from Recruitment Activities at the Proposing Organization's Site(s) | <p>1. Are Military Services barred from recruitment activities at the proposing organization's site(s)?</p> <p>2. Use Y, N, or W as appropriate in YNQ02.</p> <p>3. If answer is "Yes", provide explanation in YNQ05/06/07.</p> |
| | | J4 | Project Requires Inter-Government Review for Activities that affect State or Local Government or Possible National Security Implications | <p>1. Does the project require review under Executive Order No. 12372 for activities that directly affect state or local government?</p> <p>2. If answer is Y in YNQ02, identify the review date in YNQ04.</p> <p>3. Use W in YNQ02 when the project is subject to the Executive Order but has not been selected for review.</p> <p>4. Use N if the project is not covered by the Executive Order.</p> |
| | | NR | No Restrictions | <p>1. Use to indicate that the applying organization gives permission to the Federal Government to announce the award and address-related information regarding the organization.</p> <p>2. Use Y or N as appropriate in YNQ02.</p> |
| M | YNQ02 | 1073 | Yes/No Condition or Response Code | M ID 1/1 |
| | | | Code indicating a Yes or No condition or response | |
| | | | <i>A Yes/No response relates to the code cited in the immediately preceding YNQ01 data element.</i> | |
| | | | N No | |
| | | | W Not Applicable | |
| | | | Y Yes | |
| | YNQ03 | 1250 | Date Time Period Format Qualifier | X ID 2/3 |

| | | | | |
|-----------------|--------------|-------------|--|-------------------|
| | | | Code indicating the date format, time format, or date and time format D8 Date Expressed in Format CCYYMMDD | |
| | YNQ04 | 1251 | Date Time Period Expression of a date, a time, or range of dates, times or dates and times <i>When YNQ01 is code J4 and YNQ02 is code Y, use to identify the review date.</i> | X AN 1/35 |
| | YNQ05 | 933 | Free-Form Message Text Free-form message text <i>Use as needed to provide explanatory text related to the codes selected in YNQ01/02. YNQ05/06/07 may be used as a continuous string of text.</i> | O AN 1/264 |
| | YNQ06 | 933 | Free-Form Message Text Free-form message text | O AN 1/264 |
| | YNQ07 | 933 | Free-Form Message Text Free-form message text | O AN 1/264 |
| Not Used | YNQ08 | 1270 | Code List Qualifier Code Code identifying a specific industry code list | X ID 1/3 |
| Not Used | YNQ09 | 1271 | Industry Code Code indicating a code from a specific industry code list | X AN 1/30 |
| Not Used | YNQ10 | 933 | Free-Form Message Text Free-form message text | X AN 1/264 |

| | |
|------------------------|--|
| Segment: | N9 Reference Identification |
| Position: | 1000 |
| Loop: | N9 Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To transmit identifying information as specified by the Reference Identification Qualifier |
| Syntax Notes: | <ol style="list-style-type: none"> 1 At least one of N902 or N903 is required. 2 If N906 is present, then N905 is required. 3 If either C04003 or C04004 is present, then the other is required. 4 If either C04005 or C04006 is present, then the other is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 N906 reflects the time zone which the time reflects. 2 N907 contains data relating to the value cited in N902. |
| Comments: | |
| Notes: | <ol style="list-style-type: none"> 1. <i>Use this N9 loop in various loops as indicated by the N901 codes.</i> 2. <i>Specifically, use this N9 loop when HL03 is code PC (Project loop), SP (Sub-project loop) and CO (Consortium loop) to provide references and text descriptions related to the project.</i> 3. <i>When portions of the application are being transmitted as objects using transaction set 102, use code OIC in N901. Provide the TS 102 , Associated Object Reference Identification, in N902, and identify the portion of the application in N903.</i> 4. <i>Use to indicate the portion of the application being transmitted as associated data using Transaction Set 102.</i> |

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|-------------|---|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | N901 | 128 | Reference Identification Qualifier |
| | | | Code qualifying the Reference Identification |
| | | 3X | Subcontract Number |
| | | | <i>Use this code once only when HL03 is code SP (Sub-project loop) or CO (Consortium loop) to indicate a unique identification number for the sub-project or consortium effort identified in this iteration of the HL loop.</i> |
| | | 43 | Supporting Document Number |
| | | | Supports or clarifies information and values represented in a document |
| | | | <i>1. When HL03 is code PC (Project loop), SP (Sub</i> |

| | | |
|----|-------------------------------|---|
| | | <p><i>-project loop), CO (Consortium loop), or 4 (Care Group loop), use to indicate that a matrix will follow. For example, when HL03 is code 4 (Group), a Gender and Minority inclusion matrix associated with the individuals making up the care group could follow. Cite the word MATRIX in N903 and use the 2/MTX/1100 segment to identify the matrix title.</i></p> <p>2. Use of the 2/INX/1200 loop is REQUIRED to define the matrix.</p> |
| 5S | Processing Area | <p><i>For nonresearch applications, use to indicate the type of submission as specified in the Federal Agency grant application instructions. This represents the project's purpose, e.g., construction, rehabilitation, planning, etc.</i></p> <p><i>Use to convey Standard Form 424, block 1, Type of Submission, Construction or Non-construction, when the application type is Construction.</i></p> |
| 6M | Application Number | <p>1. Use to indicate the application number assigned by a reviewing organization (state, regional council, transit authority, etc.) taking action prior to the submission of the application to a Federal Agency.</p> <p>2. Identify the reviewing organization in N903.</p> |
| F4 | Facility Certification Number | <p>A unique number assigned to qualifying facilities to perform services</p> <p>1. Use to indicate the organization's Assurance of Compliance Number in N902; the type of review (FULL or EXPEDITED) in N903; and identify the Institution Review Board (IRB) approval date in N904.</p> <p>2. When the number applies to all care groups, use this code in the Project loop (HL03 is code PC), in the applicable Sub-project loop (HL03 is code SP) or in the applicable Consortium (HL03 is code CO).</p> <p>3. When the number applies to an individual care group, use this code in that Care Group loop</p> |

| | | |
|-----|----------------------------|---|
| | | <i>(HL03 is code 4).</i> |
| | | 4. When an IRB approval has not been received, cite the word <i>PENDING</i> in N903. |
| L4 | Proposal Paragraph Number | <p>The place in a proposal where additional information can be found</p> <p>1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), 4 (Care Group loop), or AS (Animal Subject loop), use to indicate that N902 cites the Grant paragraph number that identifies the type of text that will appear in the following 2/MTX/110 segment. N903 may be used to provide an applicant-supplied title for that paragraph.</p> <p>2. This N9/MTX combination provides the text data comprising the statement of work and other textual data associated with the application.</p> |
| OIC | Object Identifier | Use to indicate that a portion of the application is being transmitted as an object using Transaction Set 102. Identify the object using N902-3. |
| WI | Waiver | <p>1. Use to indicate the applicable exemption to the Common Rule for Protection of Human Subjects (1, 2, 3, 4, 5, or 6). The number is cited in N902. See the specific agency implementation of Common Rule for category definitions.</p> <p>2. When the exemption applies to all care groups, use this code in the Project loop (HL03 is code PC) or in the applicable Sub-project loop (HL03 is code SP).</p> <p>3. When the number applies to an individual care group, use this code in that Care Group loop (HL03 is code 4).</p> |
| Y9 | Current Certificate Number | <p>1. Use to indicate the Animal Welfare Assurance Number. Use N904 to identify the Institutional Animal Care and Use Committee (IACUC) approval date.</p> <p>2. When the number applies to all animal subject groups, use this code in the Project loop (HL03 is</p> |

code PC), in the applicable Sub-project loop (HL03 is code SP) or in the applicable Consortium loop (HL03 is code CO).

3. When the numbers vary by animal subject groups, use this code in that Animal Subject loop (HL03 is code AS).

4. When an IACUC approval has not been received, cite the word PENDING in N903.

YB

Revision Number

When BGN07 is code FM and HL03 is code PC (Project loop), use to indicate the Federal agency identification of a revised budget.

N902 127 Reference Identification X AN 1/30

Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier

1. When N901 is code L4, cite the applicable Grant paragraph number from the following list:

Para # Paragraph Title

A Abstract

B Project Description

B.1 Introduction

B.2 Aims

B.3 Background

B.4 Preliminary Studies

B.5 Research Design/Approach

B.6 Bibliography/References

B.7 Results from Prior Support

C Project Resources & Environment

C.1 Personnel & Budget Justifications

C.2 Space/Facilities

C.3 Equipment

C.4 Other

C.5 Travel Justification

C.6 Alterations and Renovations

C.7 Supplies

E Explanations

E.1 Cert & Reps

E.2 Other Commitments

E.3 Mandatory Cost Sharing

E.4 Project Related Income

| | |
|--------------|--|
| E.5 | <i>Special Project Considerations</i> |
| E.6 | <i>Consortium/Contractual Arrangements</i> |
| E.7 | <i>Indirect Cost Base</i> |
| F | <i>Special Considerations</i> |
| F.1 | <i>List of Reviewers (Include/Exclude)</i> |
| F.2 | <i>Cover Letter</i> |
| F.3 | <i>Free Text</i> |
| G | <i>Human Subjects</i> |
| H | <i>Animals</i> |
| H.1 | <i>Species Description</i> |
| I | <i>Progress Report</i> |
| I.1 | <i>Specific Aims</i> |
| I.2 | <i>Results & Significance</i> |
| I.3 | <i>Plans</i> |
| I.3.1 | <i>Plans Specific Aims</i> |
| I.3.2 | <i>Human Subject Changes</i> |
| I.3.3 | <i>Invertebrate Animal Subject Changes</i> |
| I.4 | <i>Project Generated Resources</i> |
| I.5 | <i>Significant Unobligated Balances</i> |
| I.6 | <i>Inventions (Title, Name of inventor(s))</i> |
| I.7 | <i>Expenditures To-Date</i> |
| K | <i>Research Career Award</i> |
| K.1 | <i>The Candidate</i> |
| K.1.1 | <i>Letters of Reference</i> |
| K.1.2 | <i>Candidate's Background</i> |
| K.1.3 | <i>Career Goals and Objectives: Scientific Biography</i> |
| K.1.4 | <i>Career Development Activities during Award Period</i> |
| K.2 | <i>Statements by Sponsors, Consultants, and Collaborators</i> |
| K.3 | <i>Environment and Institutional Commitment to Candidate</i> |
| K.3.1 | <i>Description of Institutional Environment</i> |
| K.3.2 | <i>Institutional Commitment</i> |
| L | <i>Research Training Program Plan</i> |
| L.1 | <i>Introduction to Revised Application</i> |
| L.2 | <i>Introduction to Supplemental Application</i> |
| L.3 | <i>Background</i> |
| L.4 | <i>Program Plan</i> |
| L.4.1 | <i>Program Direction</i> |
| L.4.2 | <i>Program Faculty</i> |
| L.4.3 | <i>Proposed Training</i> |
| L.4.4 | <i>Trainee Candidates</i> |
| L.5 | <i>Recruitment of Individuals</i> |
| L.6 | <i>Responsible Conduct of Research</i> |

| | | | | | |
|-----------------|-------------|--|------------------|--|---------------|
| | | M | | Potential Applications of Research | |
| | | | | <i>2. Use to indicate the Associated Object Reference Identification when Transaction Set 102 is used to transmit a portion of the application as associated data. Use the value in ORI01 of TS 102.</i> | |
| N903 | 369 | Free-form Description | X | AN 1/45 | |
| | | Free-form descriptive text | | | |
| | | <i>1. When N901 is code 6M, use to identify the reviewing organization. For a state government, cite only the two position postal code abbreviation for the state, e.g., CA, KS, FL, VT, etc.</i> | | | |
| | | <i>2. When N901 code F4, use to identify the type of IRB review. Cite either the word FULL or EXPEDITED. When an IRB approval has not been received cite the word PENDING.</i> | | | |
| | | <i>3. When N901 is code L4, use to identify the Grant Application paragraph title or an alternative title preferred by the grant applicant.</i> | | | |
| | | <i>4. Use to indicate the portion of the application being transmitted as associated data using Transaction Set 102.</i> | | | |
| | | <i>5. When N901 is code 5S, identify the project's purpose (e.g. construction).</i> | | | |
| N904 | 373 | Date | O | DT 8/8 | |
| | | Date expressed as CCYYMMDD | | | |
| | | <i>1. When N901 is code 6M, use to identify the date received by the reviewing organization.</i> | | | |
| | | <i>2. When HL03 is code 4 (Care Group loop) and N901 is code F4, use to identify the IRB approval date.</i> | | | |
| | | <i>3. When HL03 is code AS (Animal Subject loop) and N901 is code Y9, use to identify the IACUC approval date.</i> | | | |
| Not Used | N905 | 337 | Time | X | TM 4/8 |
| | | Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) | | | |
| Not Used | N906 | 623 | Time Code | O | ID 2/2 |
| | | Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow | | | |

| | | | | |
|-----------------|---------------|-------------|---|------------------|
| Not Used | N907 | C040 | Reference Identifier | O |
| | | | To identify one or more reference numbers or identification numbers as specified by the Reference Qualifier | |
| Not Used | C04001 | 128 | Reference Identification Qualifier | M ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04002 | 127 | Reference Identification | M AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| Not Used | C04003 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04004 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| Not Used | C04005 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04006 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |

Segment: L11 Business Instructions and Reference Number**Position:** 1050**Loop:** N9 Optional**Level:** Detail**Usage:** Optional**Max Use:** >1**Purpose:** To specify instructions in this business relationship or a reference number**Syntax Notes:** 1 At least one of L1101 or L1103 is required.

2 If either L1101 or L1102 is present, then the other is required.

Semantic Notes:**Comments:****Notes:** *When 2/N901/1000 is code 43, use to identify the brand name of the spreadsheet software and its version and release number.***Data Element Summary**

| Ref. | Data | Name | Attributes |
|--------------------|-----------------------|--|-------------------|
| <u>Des.</u> | <u>Element</u> | | |
| L1101 | 127 | Reference Identification | X AN 1/30 |
| | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| L1102 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | Code qualifying the Reference Identification | |
| | | ZS Software Application Number <i>Use to indicate the brand name of the spreadsheet software and its version and release number. For example, Excel 97.</i> | |
| Not Used | L1103 | 352 Description | X AN 1/80 |
| | | A free-form description to clarify the related data elements and their content | |

| | |
|------------------------|---|
| Segment: | MTX Text |
| Position: | 1100 |
| Loop: | N9 Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To specify textual data |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If MTX01 is present, then MTX02 is required. 2 If MTX03 is present, then MTX02 is required. 3 If MTX05 is present, then MTX04 is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 MTX05 is the number of lines to advance before printing. |
| Comments: | <ol style="list-style-type: none"> 1 If MTX04 is "AA - Advance the specific number of lines before print", then MTX05 is required. |
| Notes: | <ol style="list-style-type: none"> 1. When 2/N901/1000 is code 43, use this MTX segment to provide the matrix title. 2. When 2/N901/1000 is code L4, use this segment to provide text that is associated with the Grant paragraph number cited in N902. |

Data Element Summary

| | Ref. | Data | Attributes |
|----------|-------------|--|-------------------|
| | Des. | Element Name | |
| Not Used | MTX01 | 363 Note Reference Code | O ID 3/3 |
| | | Code identifying the functional area or purpose for which the note applies | |
| Must Use | MTX02 | 1551 Message Text | X AN 1/4096 |
| | | To transmit large volumes of message text | |
| | MTX03 | 1551 Message Text | O AN 1/4096 |
| | | To transmit large volumes of message text | |
| Not Used | MTX04 | 934 Printer Carriage Control Code | X ID 2/2 |
| | | A field to be used for the control of the line feed of the receiving printer | |
| Not Used | MTX05 | 1470 Number | O N0 1/9 |
| | | A generic number | |
| | MTX06 | 819 Language Code | O ID 2/3 |
| | | Code designating the language used in text, from a standard code list maintained by the International Standards Organization (ISO 639) | |

| | |
|------------------------|--|
| Segment: | INX Index Detail |
| Position: | 1200 |
| Loop: | INX Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To specify an index |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If either C03602 or C03603 is present, then the other is required. 2 At least one of C03602 or C03604 is required. 3 If either C03604 or C03605 is present, then the other is required. |
| Semantic Notes: | |
| Comments: | |
| Notes: | <p><i>1. When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), or 4 (Care Group loop), use to identify data in a matrix (spreadsheet) format.</i></p> <p><i>2. Use this INX segment to define the pattern and range of cells within the matrix and the 2/K3/1300 segment to define the content of the cell(s) specified by the INX.</i></p> <p><i>3. For purposes of this implementation convention (IC), cells will be identified in a manner typical of computer spreadsheets. That is, the columns will be identified by a letter A, B, C ... and the rows by a number 1, 2, 3 ... The column and row titles (text descriptions) are REQUIRED to be included in the matrix. In specifying ranges it is not necessary to specify a continuous series of cells within a row or column; they can be broken into subsets. However, when all iterations of the INX loop are complete, the entire matrix should be complete.</i></p> |

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|--|-------------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | INX01 | 1550 Index Qualifier | M ID 1/2 |
| | | Code identifying an index | |
| | | <p><i>1. Use code 1 or 2 once per matrix to indicate the start of the matrix. Use multiple iterations as needed citing codes 3 or 4 to define additional cell ranges to be loaded within a single matrix.</i></p> <p><i>2. In an absolute reference (codes 1 and 3) use the alphanumeric identifiers (e.g., A1 and E1) in INX02-02 and INX02-03 to identify the range of cells to be loaded.</i></p> <p><i>3. In a relative reference (codes 2 and 4), use the alphanumeric identifier, e.g., B3, in INX02-02 to identify the specific cell to start at and in INX02-03, provide a count of cells to load starting from that location.</i></p> | |

4. Example of an absolute load pattern loading 15 cells (A1..E1, A2..E2, A3..E3): *INX*1*1:A1:E3@*

5. Example of a relative load pattern that starts at cell B3 and loads 3 cells top to bottom: *INX*2*3:B3:3@*

- | | |
|---|--|
| 1 | Matrix Start - Absolute Reference |
| 2 | Matrix Start - Relative Reference |
| 3 | Matrix Continuation - Absolute Reference |
| 4 | Matrix Continuation - Relative Reference |

| | | | | |
|---|--------|------|--|---------------------------|
| M | INX02 | C036 | Index Identification | M |
| | | | To identify an index | |
| | C03601 | 1395 | Configuration Type Code | O ID 1/1 |
| | | | Code defining how information is being grouped or arrayed | |
| | | | <i>Use to indicate the pattern of loading the cells.</i> | |
| | | | 1 | Horizontal, Left to Right |
| | | | 2 | Horizontal, Right to Left |
| | | | 3 | Vertical, Top to Bottom |
| | | | 4 | Vertical, Bottom to Top |
| | | | 5 | Individual Cell |
| | C03602 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| | | | <i>In either an absolute or relative reference, use to identify the cell that begins the range of a load operation, e.g., B3.</i> | |
| | C03603 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| | | | <i>1. When INX01 is code 1 or 3 (absolute reference), use to describe the cell which ends this iteration of the load operation, e.g., E3.</i> | |
| | | | <i>2. When INX01 is code 2 or 4 (relative reference), use to provide a count of the number of cells from the specified start to be loaded.</i> | |
| | C03604 | 863 | X-Peg | X R 1/6 |
| | | | Horizontal distance from the edge to the center of the peg hole (measured from the left) | |
| | | | <i>Use only when INX02-01 is code 5 (individual cell) to identify the column letter of a single cell to be loaded.</i> | |
| | C03605 | 864 | Y-Peg | X R 1/6 |
| | | | The vertical distance from the edge to the center of the peg hole as specified by the peg code | |
| | | | <i>Use only when INX02-01 is code 5 (individual cell) to identify the row number of a single cell to be loaded.</i> | |

Segment: K3 File Information**Position:** 1300**Loop:** INX Optional**Level:** Detail**Usage:** Mandatory**Max Use:** >1**Purpose:** To transmit a fixed-format record or matrix contents**Syntax Notes:****Semantic Notes:** 1 K303 identifies the value of the index.**Comments:** 1 The default for K302 is content.**Notes:** *Use multiple repetitions as needed of this K3 segment within a 2/INX/1200 loop iteration to identify each cell within the beginning and ending range identified by the INX segment.***Data Element Summary**

| | <u>Ref.</u> | <u>Data</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|----------|-------------|-------------|---|--|-------------------|
| M | K301 | 449 | Fixed Format Information | | M AN 1/80 |
| | | | | Data in fixed format agreed upon by sender and receiver | |
| | | | | <i>Use to identify the cell contents.</i> | |
| Not Used | K302 | 1333 | Record Format Code | | O ID 1/2 |
| | | | | Code specifying the format of information | |
| Not Used | K303 | C001 | Composite Unit of Measure | | O |
| | | | | To identify a composite unit of measure (See Figures Appendix for examples of use) | |
| Not Used | C00101 | 355 | Unit or Basis for Measurement Code | | M ID 2/2 |
| | | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00102 | 1018 | Exponent | | O R 1/15 |
| | | | | Power to which a unit is raised | |
| Not Used | C00103 | 649 | Multiplier | | O R 1/10 |
| | | | | Value to be used as a multiplier to obtain a new value | |
| Not Used | C00104 | 355 | Unit or Basis for Measurement Code | | O ID 2/2 |
| | | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00105 | 1018 | Exponent | | O R 1/15 |
| | | | | Power to which a unit is raised | |
| Not Used | C00106 | 649 | Multiplier | | O R 1/10 |
| | | | | Value to be used as a multiplier to obtain a new value | |
| Not Used | C00107 | 355 | Unit or Basis for Measurement Code | | O ID 2/2 |
| | | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00108 | 1018 | Exponent | | O R 1/15 |

| | | | | |
|----------|--------|------|--|-----------------|
| | | | Power to which a unit is raised | |
| Not Used | C00109 | 649 | Multiplier | O R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | |
| Not Used | C00110 | 355 | Unit or Basis for Measurement Code | O ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00111 | 1018 | Exponent | O R 1/15 |
| | | | Power to which a unit is raised | |
| Not Used | C00112 | 649 | Multiplier | O R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | |
| Not Used | C00113 | 355 | Unit or Basis for Measurement Code | O ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00114 | 1018 | Exponent | O R 1/15 |
| | | | Power to which a unit is raised | |
| Not Used | C00115 | 649 | Multiplier | O R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | |

Segment: **PPL** Price Support Data
Position: 1700
Loop: PPL Optional
Level: Detail
Usage: Optional
Max Use: 1
Purpose: To provide information about pricing support
Syntax Notes:
Semantic Notes: 1 PPL02 is the start date.
 2 PPL03 is the end date.

Comments:**Notes:**

1. When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop), use of this segment is REQUIRED to provide project total price. Use a single iteration of this PPL loop and within it a single iteration of the 2/PD/1900 loop to provide this project total price.

2. When detailed budget data is being provided in this transaction set, use subsequent iterations of the PPL loop to identify each budget period (e.g., a project with a planned duration of 2 budget periods would utilize 3 iterations of the PPL loop). Use the 2/PD/1900 loop to provide costs for specific budget categories (salaries, equipment, etc.).

Data Element Summary

| | <u>Ref.</u> | <u>Data</u> | <u>Attributes</u> |
|----------|-------------|--|-------------------|
| | <u>Des.</u> | <u>Element</u> <u>Name</u> | |
| Not Used | PPL01 | 1309 Acquisition Data Code | O ID 2/2 |
| | | Code identifying acquisition data | |
| Not Used | PPL02 | 373 Date | O DT 8/8 |
| | | Date expressed as CCYYMMDD | |
| Not Used | PPL03 | 373 Date | O DT 8/8 |
| | | Date expressed as CCYYMMDD | |
| | PPL04 | 352 Description | O AN 1/80 |
| | | A free-form description to clarify the related data elements and their content | |
| | | <i>1. In one iteration of this PPL segment within the Project and any Subproject and Consortium loops, the letter T is REQUIRED to indicate the total project price. When instructed in the solicitation or announcement, also provide the project totals by category.</i> | |
| | | <i>2. When data is being provided by budget period in additional PPL segment iterations, cite 1, 2, 3, etc. to identify the budget periods. To specify quarters for the initial budget period, cite 1Q1, 1Q2, 1Q3, or 1Q4 to identify the quarter.</i> | |
| | PPL05 | 1401 Proposal Data Detail Identifier Code | O ID 1/3 |
| | | Code identifying the basis of a cited value in a proposal | |

1. Use code AA to indicate the values in PD/PDD are the actual unadjusted cost for the budget item without reductions to accommodate non-Federal cost sharing contributions.

2. Use code AC to indicate the values in PD/PDD are the requested cost for the budget item with reductions to accommodate non-Federal cost sharing contributions.

3. Use code AQ to indicate the values in PD/PDD are the non-Federal cost sharing contributions.

AA Actual Amount

Use to indicate that the values in 2/PD/1900 & 2/PDD/2000 are the actual unadjusted cost for the budget item. No reductions have been made to accommodate non-Federal cost sharing contributions (2/PD07/1900 code 88).

AC Negotiated Amount

Use to indicate that the values in 2/PD/1900 & 2/PDD/2000 are the requested cost for the budget item. Reductions have been made to accommodate non-Federal cost sharing contributions (2/PD07/1900 code 88).

AQ Cost Share Amount

Use to indicate that the values in 2/PD/1900 & 2/PDD/2000 are the cost shared amounts for the budget item.

| | |
|------------------------|---|
| Segment: | PD Pricing Data |
| Position: | 1900 |
| Loop: | PD Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To describe the pricing basic input detail |
| Syntax Notes: | |
| Semantic Notes: | <ol style="list-style-type: none"> 1 PD01 is the unit of the time period contained in PD02. 2 PD02 is the date of the start of the time period in PD01. 3 PD04 is the quantity of the unit of measurement in PD03. 4 PD05 is the name of the cost element being proposed. 5 PD06 is the description of the name of the cost element being proposed. 6 PD08 is a reference to a specific paragraph number contained in an external document. 7 PD09 is the category of the data being proposed. |
| Comments: | |
| Notes: | <i>Use this PD loop to identify budget categories, rates, and totals associated with a category. Use the PD segment to identify the name of a category and the 2/PDD/2000 segment to identify the amounts budgeted for the category.</i> |

| Data Element Summary | | | | |
|--|-------------|----------------|---------------------------------|--|
| | Ref. | Data | | |
| | <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | PD01 | 344 | Unit of Time Period or Interval | M ID 2/2 |
| Code indicating the time period or interval | | | | |
| 1. Cite the appropriate code to indicate the period defined for this budget category. | | | | |
| 2. For budget categories where a period is NOT applicable (e.g., supplies, equipment), cite code CC in order to meet the X12 syntax requirements of this data element. | | | | |
| | | | AP | Academic Period |
| | | | CC | Cycles |
| | | | | Periodic cycling of extreme levels of a variable |
| | | | | Use to indicate a budget period not described by another code. |
| | | | CY | Calendar Year |
| | | | SP | Summer Period |
| M | PD02 | 373 | Date | M DT 8/8 |
| Date expressed as CCYYMMDD | | | | |
| Use is REQUIRED to identify the beginning date for the period indicated in PD01. | | | | |
| M | PD03 | C001 | Composite Unit of Measure | M |

| | | | | | |
|-----------------|---------------|-------------|--|---|---------------|
| | | | To identify a composite unit of measure (See Figures Appendix for examples of use) | | |
| M | C00101 | 355 | Unit or Basis for Measurement Code | M | ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | | |
| | | | DO | Dollars, U.S. | |
| | | | P1 | Percent | |
| | | | | <i>Use when the PD07 category requires a percentage (e.g., indirect charges, fringe benefits).</i> | |
| Not Used | C00102 | 1018 | Exponent | O | R 1/15 |
| | | | Power to which a unit is raised | | |
| Not Used | C00103 | 649 | Multiplier | O | R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | | |
| | C00104 | 355 | Unit or Basis for Measurement Code | O | ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | | |
| | | | <i>Use, if applicable, only when PD03-01 is code DO.</i> | | |
| | | | 8S | Session | |
| | | | | <i>Use to indicate the individual's or labor category's base salary for the period specified in PD01, i.e., year, academic period, etc.</i> | |
| | | | HR | Hours | |
| | | | | <i>Use to indicate an amount priced on an hourly basis.</i> | |
| | | | MO | Months | |
| | | | | <i>Use to indicate an amount priced on a monthly basis.</i> | |
| | | | YR | Years | |
| | | | | <i>Use to indicate an amount priced on an annual basis.</i> | |
| Not Used | C00105 | 1018 | Exponent | O | R 1/15 |
| | | | Power to which a unit is raised | | |
| Not Used | C00106 | 649 | Multiplier | O | R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | | |
| Not Used | C00107 | 355 | Unit or Basis for Measurement Code | O | ID 2/2 |
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | | |
| Not Used | C00108 | 1018 | Exponent | O | R 1/15 |
| | | | Power to which a unit is raised | | |
| Not Used | C00109 | 649 | Multiplier | O | R 1/10 |
| | | | Value to be used as a multiplier to obtain a new value | | |
| Not Used | C00110 | 355 | Unit or Basis for Measurement Code | O | ID 2/2 |

| | | | | |
|----------|--------|------|---|-----------|
| | | | Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | |
| Not Used | C00111 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00112 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| Not Used | C00113 | 355 | Unit or Basis for Measurement Code Code specifying the units in which a value is being expressed, or manner in which a measurement has been taken | O ID 2/2 |
| Not Used | C00114 | 1018 | Exponent Power to which a unit is raised | O R 1/15 |
| Not Used | C00115 | 649 | Multiplier Value to be used as a multiplier to obtain a new value | O R 1/10 |
| M | PD04 | 380 | Quantity Numeric value of quantity <i>1. When PD03-01 is code P1, use to identify a percentage rate (e.g., fringe benefits and indirect costs). Cite 50% as 50; cite 50.25 % as 50.25 (note: leading and trailing zeros are suppressed).</i> <i>2. When PD03-01 is code DO and PD03-04 is not used, use to indicate a discrete amount is specified in 2/PDD03/2000. Cite 1 to meet the rules of X12 syntax. This PD04 value of 1 should not be used by the receiving application.</i> <i>3. When PD03-01 is code DO and PD03-04 is 8S, use to identify the individual's or labor category's base salary for the period specified in PD01.</i> <i>4. When PD03-01 is code DO and PD03-04 is code HR, MO, or YR, use to identify the related amount (dollars/hour, dollars/month, dollars/year) applicable to the budget category, e.g., labor, rentals, services, etc.</i> | M R 1/15 |
| M | PD05 | 93 | Name Free-form name <i>1. Use to identify a budget category by a "short-hand" or coded means.</i> <i>2. If desired, this name can be taken from the organization's cost accounting system.</i> <i>3. If PD07 provides a coded means for identifying the budget item and this data element is not needed, then cite the letter "X" to satisfy X12 syntax requirements.</i> | M AN 1/60 |
| | PD06 | 352 | Description A free-form description to clarify the related data elements and their | O AN 1/80 |

content

When PD05 carries a short-hand description taken from a cost accounting system that is not readily understandable, use to identify the budget category in a free-form text "long-hand" description. A "long-hand" description only needs to be provided the first time the "short-hand" name is used.

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| PD07 | 1196 | Breakdown Structure Detail Code | O ID 2/2 |
| | | Codes identifying details relating to a reporting breakdown structure tree | |
| | | <i>Use to identify the budget category or aggregated costs applicable to this PD loop.</i> | |
| | 01 | Labor Direct labor costs | |
| | | <i>Use to indicate direct labor wage/salary for Senior Person. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i> | |
| | 03 | Other Direct Costs (ODC) Other costs associated with a contract such as freight, travel, postage | |
| | | <i>Use to indicate the Total Other Direct Costs. This is the sum of codes 04, 39, 43, 46, 80, 81, 82, 86, 87, EH, and RL. Aggregate this sum into Total Direct Costs (code 84).</i> | |
| | 04 | Subcontract Direct subcontract | |
| | | <i>1. When HL03 is code PC (Project loop), use to indicate the sum of all subawards within the Project. Aggregate into Total Other Direct Costs (code 03).</i> | |
| | | <i>2. When HL03 is code SP (Sub-project loop) or CO (consortium loop), use to indicate subcontracts and second-tier consortium contracts budgeted within this loop. Aggregate into Total Other Direct Costs (code 03).</i> | |
| | 06 | Labor Overhead Indirect costs associated with direct labor | |
| | | <i>Use to indicate Labor Overhead (excludes fringe benefits). Aggregate into Total Indirect Costs (code 09).</i> | |
| | 08 | Other Overhead Indirect costs associated with other direct costs | |
| | | <i>Use to indicate the other base for the indirect costs base.</i> | |
| | 09 | Total Overhead | |

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| | Total of all indirect costs incurred on a contract <i>Use to indicate the Total Indirect Costs. This is either the sum of Labor Overhead (code 06) and General and Administrative (G&A) (code 33) or a discrete amount. Aggregate into Total Cost (code 38).</i> |
| 11 | Engineering Labor Direct engineering labor <i>Use to indicate direct labor wage/salary for Key Person. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i> |
| 18 | Funds Appropriation Coding to track the source of funds (such as various government agencies) <i>Use to indicate a cash contribution. Aggregate all cash contributions into Total Contribution (code 88).</i> |
| 19 | Nonrecurring Labor Labor costs that will only be incurred once <i>Use to indicate direct labor wage/salary for Other Person. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i> |
| 28 | Total <i>Use to indicate the Total Amount Requested. This is the sum of the Total Cost (code 38) and any applicable Profit or Fee (code 35). Aggregate into Total Project Cost (code 36).</i> |
| 33 | General & Administrative <i>Aggregate into Total Indirect Costs (code 09).</i> |
| 35 | Profit or Fee <i>Use in SBIR, STTR, and other appropriate applications to indicate a fixed-fee. Aggregate into Total Amount Requested (code 28).</i> |
| 36 | Total Price <i>Use to indicate the Total Project Cost. Total Project Cost is the sum of Total Amount Requested (code 28) and the Cost Sharing contribution (code 88).</i> |
| 38 | Total Cost Plus General & Administrative <i>Use to indicate Total Cost. This is the sum of Total Direct Costs (code 84) and Total Indirect Costs (code 09). Aggregate into Total Amount Requested (code 28).</i> |

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| 39 | Other Costs | <i>Use to indicate items within Other Direct Costs that are not identified by a specific code. Aggregate into Total Other Direct Costs (code 03).</i> |
| 42 | Purchased Equipment | <i>Use to indicate the acquisition of permanent equipment. Aggregate into Total Purchased Equipment (code 72).</i> |
| 43 | Materials and Purchased Items | <i>Use to indicate total material and supplies. Do not itemize the individual items. Aggregate into Total Other Direct Costs (code 03).</i> |
| 46 | Commercial Effort | <i>Use to indicate costs associated with ancillary service contracts. Aggregate into Total Other Direct Costs (code 03).</i> |
| 47 | Total Direct Cost Base | <i>Use to indicated the modified total direct cost base.</i> |
| 48 | Indirect Labor | <i>Use to indicate Total Fringe Benefits. This is the sum of all Employee Benefits (code 49). Aggregate into Total Labor Costs (code 71).</i> |
| 49 | Employee Benefits | <i>Use to indicate individual or labor category fringe benefits. Aggregate into Total Fringe Benefits (code 48).</i> |
| 51 | Employment | <i>Use to indicate the indirect cost base for salary and wages.</i> |
| 52 | Communications and Travel | <i>Use to indicate Total Travel. This is the sum of domestic travel (code 73) and foreign travel (code 74). Aggregate into Total Direct Costs (code 84).</i> |
| 56 | Administration | <i>Use to indicate Participant insurance. Aggregate into Participant Total Costs (code 79).</i> |
| 70 | Total Salaries and Wages | <i>Use to indicate Total Direct Labor. This is the sum of all Labor (code 01). Aggregate into Total Labor Costs (code 71).</i> |
| 71 | Total Salaries and Wages and Employee Benefits | <i>Use to indicate Total Labor Costs. This is the sum</i> |

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| | <i>of Total Direct Labor Costs (code 70) and Total Fringe Benefits (code 48). Aggregate into Total Direct Costs (code 84).</i> |
| 72 | Total Purchased Equipment <i>Use to indicate Total Purchased Equipment. This is the sum of all Purchased Equipment (code 42). Aggregate into Total Direct Costs (code 84).</i> |
| 73 | Travel - Domestic <i>Aggregate into Total Travel (code 52).</i> |
| 74 | Travel - Foreign <i>Aggregate into Total Travel (code 52).</i> |
| 75 | Participant Stipends <i>Aggregate into Participant Total Costs (code 79).</i> |
| 77 | Participant Travel <i>Aggregate into Participant Total Costs (code 79).</i> |
| 78 | Participant Other <i>Includes training related expenses. Aggregate into Participant Total Costs (code 79).</i> |
| 79 | Participant Total <i>Use to indicate Participant Total Costs. This is the sum of codes 56, 75, 77, 78, EX, FE and TU. Aggregate into Total Direct Costs (code 84).</i> |
| 80 | Publication Costs <i>Aggregate into Total Other Direct Costs (code 03).</i> |
| 81 | Consultant Services <i>Aggregate into Total Other Direct Costs (code 03).</i> |
| 82 | Computer Automated Data Processing (ADP) Services <i>Aggregate into Total Other Direct Costs (code 03).</i> |
| 83 | Funding From Non-Federal Sources <i>Use to indicate an in-kind contribution. Aggregate all in-kind contributions in Total Contribution (code 88).</i> |
| 84 | Total Direct Costs <i>Use to indicate Total Direct Costs. This is the sum of codes 03, 52, 71, 72, 79, 85 and BL. Aggregate into Total Costs (code 38).</i> |
| 85 | Human Subject Costs <i>Use to indicate the total inpatient costs. Aggregate into Total Direct Costs (code 84).</i> |
| 86 | Animal Costs <i>Aggregate into Total Other Direct Costs (code 03).</i> |

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| 87 | <p>Alternations and Renovations</p> <p><i>Aggregate into Total Other Direct Costs (code 03).</i></p> |
| 88 | <p>Cost Sharing</p> <p><i>1. Use to indicate the grant applicant organization's Total Contribution to the project; this includes cash (code 18) and in-kind contributions (code 83) from non-Federal sources.</i></p> <p><i>2. When 2/PPL05/1700 is code AA, this is a negative amount.</i></p> <p><i>3. When 2/PPL05/1700 is code AC, this is a positive amount.</i></p> |
| BL | <p>Billings</p> <p><i>Use to indicate the total outpatient costs. Aggregate into Total Direct Costs (code 84).</i></p> |
| D4 | <p>Work Level Recipient</p> <p><i>Use to indicate direct labor wage/salary for Post Doctorial Person. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i></p> |
| D5 | <p>Allotment Recipient</p> <p><i>Use to indicate direct labor wage/salary for Other Professional Person. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i></p> |
| D6 | <p>Sub-allotment Recipient</p> <p><i>Use to indicate direct labor wage/salary for Graduate Students. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i></p> |
| D7 | <p>Work Center Recipient</p> <p><i>Use to indicate direct labor wage/salary for Secretarial/Clerical Person. Aggregate direct labor wage/salary into Total Direct Labor (code 70).</i></p> |
| EH | <p>Equipment Maintenance</p> <p><i>Use to indicate the cost of equipment maintenance. Aggregate into Total Other Direct Costs (code 03).</i></p> |
| EX | <p>Expenditures</p> <p><i>Use to indicate participant subsistence. Aggregate into Participant Total Costs (code 79).</i></p> |
| FE | <p>Participant Fees</p> <p><i>Use to indicate participant fees. Aggregate into Participant Total Costs (code 79).</i></p> |
| RL | <p>Rental or Lease of Equipment or Facilities</p> <p><i>Use to indicate rent/lease of equipment/facilities.</i></p> |

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| | | | <p><i>Aggregate into Total Other Direct Costs (code 03).</i></p> <p>TU Participant Tuition</p> <p><i>Use to indicate participant tuition. Aggregate into Participant Total Costs (code 79).</i></p> <p>ZZ Mutually Defined</p> <p><i>Use to indicate the indirect costs base for off-site, other special rate, or more than one rate involved.</i></p> | |
| PD08 | 127 | Reference Identification | O AN 1/30 | <p>Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier</p> <p><i>1. When PD07 is code 01 or 49, and PD09 is a project role, use to provide the Government User Identifier of all Key Persons.</i></p> <p><i>2. When PD07 is code 01 or 49 and PD09 is a labor category, use is REQUIRED to identify the number of persons budgeted within that category. In addition to project employee categories, this includes categories for trainees, participants, and consultants.</i></p> <p><i>3. For other PD07 categories, use as needed to identify a named individual to whom the cost pertains.</i></p> |
| PD09 | 352 | Description | O AN 1/80 | <p>A free-form description to clarify the related data elements and their content</p> <p><i>1. When PD07 is code 01 or 49, use is REQUIRED to identify the project role of the individual named in PD08 or a labor category. For labor categories, include words that describe the type of personnel (e.g., graduate students, donors, speakers, trainees, participants, clerical support, lab technicians) and identify the number of persons budgeted within the category in PD08.</i></p> <p><i>2. When PD07 is code 09, use as needed to identify the type of the indirect cost rate (e.g. provisional, predetermined, final, or fixed).</i></p> <p><i>3. When PD07 is code 73, or 74, use to identify the destination for the travel.</i></p> <p><i>4. When PD07 is code 42, use is REQUIRED to identify the nomenclature of the equipment being purchased.</i></p> <p><i>5. When PD07 is code 18, 83, or 88, use as needed to identify the source of the contribution, e.g., applicant, state, county, etc.</i></p> <p><i>6. For other PD07 categories, use as needed to provide additional information necessary to describe the category.</i></p> |
| Not Used | PD10 | 1401 Proposal Data Detail Identifier Code | O ID 1/3 | |

Code identifying the basis of a cited value in a proposal

Segment: **PDD** Pricing Data Detail
Position: 2000
Loop: PD Optional
Level: Detail
Usage: Optional (Must Use)
Max Use: >1
Purpose: To provide the rates, direct input, and pricing factors for each element of work, cross-referenced to an applicable request or submission

Syntax Notes: 1 At least one of PDD02 PDD03 or PDD04 is required.

Semantic Notes: 1 PDD01 is a sequential number assigned by the initiator.

Comments:

- Notes:**
1. Use of this PDD segment is **REQUIRED** for each iteration of the 2/PD/1900 segment.
 2. Use of this PDD segment is **LIMITED** to ONE occurrence per 2/PD/1900 loop iteration.

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|---|-------------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | PDD01 | 350 Assigned Identification | M AN 1/20 |
| | | Alphanumeric characters assigned for differentiation within a transaction set | |
| | | Use is REQUIRED to identify the number of months in the period specified in PD01. | |
| | PDD02 | 380 Quantity | X R 1/15 |
| | | Numeric value of quantity | |
| | | 1. When 2/PD03-01/1900 is code P1, use to indicate the base amount in dollars. | |
| | | 2. When 2/PD03-01/1900 is code DO and 2/PD03-04/1900 is code 8S, use to indicate the level of effort in months for the period. | |
| | | 3. When 2/PD03-01/1900 is code DO and 2/PD03-04/1900 is code HR, MO, or YR, use to indicate the quantity of the time units (e.g., number of hours) applicable to the rate in 2/PD04/1900. | |
| | | 4. When 2/PD03-01/1900 is code DO, 2/PD03-04/1900 is not used, and 2/PD07/1900 is code 42, use to identify the quantity of items being purchased, if applicable. | |
| | | 5. When 2/PD03-01/1900 is code DO, 2/PD03-04/1900 is not used, and 2/PD07/1900 is code 73 or 74, use to identify the total quantity of trips. | |
| | | 6. When 2/PD03-01/1900 is code DO, 2/PD03-04/1900 is not used, and 2/PD07/190 is code 79, use to identify the total quantity of subjects. | |

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| | | | <p><i>7. When 2/PD03-01/1900 is code DO and 2/PD03-04/1900 is not used, and 2/PD07/1900 is other than 42, 73, 74, or 79, do not use this data element.</i></p> | |
| | PDD03 | 782 | Monetary Amount | X R 1/18 |
| | | | Monetary amount | |
| | | | <p><i>1. When 2/PD03-01/1900 is code P1, identify the product of the rate in 2/PD04/1900 times the base amount in PDD02.</i></p> <p><i>2. When 2/PD07/1900 is code 83 or 88, use to identify the amount contributed.</i></p> <p><i>3. Use to identify the amount requested for the budget category in 2/PD07/1900.</i></p> | |
| | PDD04 | 954 | Percent | X R 1/10 |
| | | | Percentage expressed as a decimal | |
| | | | <p><i>When 2/PD03-01/1900 is code DO and 2/PD03-04/1900 is code 8S, use with key personnel to indicate their average level of effort for the period. Cite .5 to indicate 50% (one-half time); cite .755 to indicate 75.5%.</i></p> | |
| Not Used | PDD05 | 1401 | Proposal Data Detail Identifier Code | O ID 1/3 |
| | | | Code identifying the basis of a cited value in a proposal | |

Segment: **LX** Assigned Number
Position: 3300
Loop: LX Optional
Level: Detail
Usage: Optional
Max Use: 1
Purpose: To reference a line number in a transaction set
Syntax Notes:
Semantic Notes:
Comments:
Notes: *Use this LX loop to provide information regarding individuals and organizations associated with the project.*

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|--|-------------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | LX01 | 554 Assigned Number | M N0 1/6 |
| | | Number assigned for differentiation within a transaction set | |
| | | <i>In the first iteration of this LX loop, cite 1. In each subsequent iteration, increment by 1.</i> | |

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| Segment: | NM1 Individual or Organizational Name |
| Position: | 3400 |
| Loop: | LX Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To supply the full name of an individual or organizational entity |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If either NM108 or NM109 is present, then the other is required. 2 If NM111 is present, then NM110 is required. |
| Semantic Notes: | 1 NM102 qualifies NM103. |
| Comments: | 1 NM110 and NM111 further define the type of entity in NM101. |
| Notes: | <p><i>1. Use this 2/NM1/3400 segment to identify organizations and individuals associated with the application and professional profile.</i></p> <p><i>2. Use to identify individuals in an application by using the Key Person loop (HL03 is code 26). Each iteration of the Key Person loop will identify one individual.</i></p> <p><i>a. One Key Person loop and NM1 segment is REQUIRED subordinate to the Project Loop to identify the Principal Investigator (NM101 code 9P). Additional Key Person Loops may be used, subordinate to the Project and any subordinate Sub-project or Consortium loops, to identify co-principal investigators, key persons, consultants or other employees as needed.</i></p> <p><i>b. At least two iterations of this NMI segment are REQUIRED within Other Support loops (HL03 is code OS), subordinate to a Key Person loop, to identify the supporting organization, and the principal investigator of the other support project. If the individual in the parent Key Person loop is not the Other Support project principal investigator, use NM101 code 9P within the Other Support loop to identify the principal investigator's name.</i></p> <p><i>3. One iteration of this NMI segment is REQUIRED in the Key Person loop (HL03 is code 26) of a professional profile. Use NM101 code 2J to indicate the individual.</i></p> <p><i>4. Use to identify organizations as needed:</i></p> <p><i>a. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop) use NM101 code K8 to identify the Federal agency with which the indirect rates were negotiated.</i></p> <p><i>b. When HL03 is code SP (Sub-project loop), use NM101 code 1P as needed to identify the responsible organization.</i></p> <p><i>c. When HL03 is code CO (Consortium loop), use NM101 codes 1P and 75 to identify the responsible and participating organizations.</i></p> |

d. When HL03 is code OS (Other Support loop), use of this segment with NM101 code 92 is REQUIRED to indicate the supporting organization.

5. NM101 codes 2J, 9P, and 9S require:

- a. an individual to be named (use NM103/04/05/06/07);*
- b. identification of their affiliated organization if different than the applicant organization (use NM102/03 or NM108/09);*
- c. their position title (use 2/N901/4000 code P5).*

6. For NM101 codes 17, 9K, and EY provide to the extent known:

- a. an individual to be named (use NM103/04/05/06/07);*
- b. their affiliated organization (use NM108/09 or N2) ;*
- c. their position title (use 2/N901/4000 code P5).*

The project role of the individual is REQUIRED in 2/EMS01/3900.

7. When NM101 is code 1P, 20, 61, 75, 92, and K8, use to identify an organization. Whenever possible, identify the organization using only a qualifier and number in NM108/09. The organization's full address was established at the time of registration as a Federal Government trading partner. Where no qualified number is available, specify the organization's name in the NM103 (and 2/N2/3500 as needed) and the full address in 2/N3/3600 - 2/N4/3700.

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|-------------|--|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | NM101 | 98 | Entity Identifier Code |
| | | | M ID 2/3 |
| | | | Code identifying an organizational entity, a physical location, property or an individual |
| | | 17 | Consultant's Office |
| | | | <i>When HL03 is code 26 (Key Person loop), use multiple occurrences as needed to indicate the name of a consultant. DO NOT USE if the consultant is identified as a key person (code 9K).</i> |
| | | 1P | Provider |
| | | | <i>When HL03 is code SP (Sub-project loop), or CO (Consortium loop), use to indicate the organization responsible for the Subproject or Consortium if different from the organization submitting the application (1/NM1/0900 code SE).</i> |
| | | 20 | Foreign Supplier |
| | | | <i>When HL03 is code PC (Project loop) and 2/YNQ/0900 is code H1, use multiple iterations as needed to indicate foreign organizations participating in the application.</i> |
| | | 2J | Individual |
| | | | <i>Use only with BGN07 code FG and HL03 code 26</i> |

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| | <i>to identify the individual for whom the professional profile is being submitted.</i> |
| 61 | <p>Performed At</p> <p>The facility where work was performed</p> <p>1. When HL03 is code PC (Project loop), use multiple iterations as needed to indicate the location(s) where project work will be performed in addition to the location identified by 1/NM101/0900 code FA or SE.</p> <p>2. When HL03 is code SP (Sub-project loop), CO (Consortium loop), or OS (Other Support loop), use multiple iterations as needed to indicate the location(s) where project work will be performed if different from or in addition to the location identified by 1/NM1/0900 code FA or SE.</p> |
| 75 | <p>Participant</p> <p>When HL03 is code CO (Consortium loop), use multiple iterations as needed to indicate the participating organizations within the consortium in addition to the organization identified by NM101 code 1P.</p> |
| 92 | <p>Support Party</p> <p>The organization supporting the resolution of an investigation</p> <p>When HL03 is code OS (Other Support loop), use is REQUIRED to identify the active, pending, or planned other support organization.</p> |
| 9K | <p>Key Person</p> <p>When HL03 is code 26 (Key Person loop), use to indicate a project key person.</p> |
| 9P | <p>Investigator</p> <p>1. In an application (BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, S4, or TS) and HL03 is code 26 (Key Person loop), use is REQUIRED to indicate the principal investigator. There can only be one principal investigator in a Project loop.</p> <p>2. When HL03 is code OS (Other Support loop) and the individual in the parent Key Person loop is not the Other Support project principal investigator, use to identify the principal investigator's name.</p> <p>3. Do not use in a professional profile (BGN07 is</p> |

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| | | | <i>code FG).</i> | |
| | | 9S | Co-Investigator | |
| | | | <i>In an application (BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, S4, or TS), when HL03 is code 26 (Key Person loop), use to indicate a co-investigator.</i> | |
| | | EY | Employee Name | |
| | | | <i>In an application (BGN07 is code 65, 6A, 6C, 6N, 6R, 6S, S4, or TS), when HL03 is code 26 (Key Person loop), use to indicate employees (nonclerical) other than principal and co-investigators and key persons.</i> | |
| | | K8 | Filing Location | |
| | | | <i>When HL03 is code PC (Project loop), SP (Sub-project loop), CO (Consortium loop), use to indicate the Department of Health and Human Services (DHHS) regional office or other organization with whom the indirect rate has been negotiated.</i> | |
| | | S1 | Parent | |
| | | | <i>Use to identify the Parent organization of an organization used in another iteration of this 2/NM1/3400 segment. When used, must also use NM110 and NM111.</i> | |
| M | NM102 | 1065 | Entity Type Qualifier | M ID 1/1 |
| | | | Code qualifying the type of entity | |
| | | 1 | Person | |
| | | | <i>Use is REQUIRED with NM101 code 17, 2J, 9K, 9P, 9S, and EY.</i> | |
| | | 2 | Non-Person Entity | |
| | | | <i>Use is REQUIRED with NM101 codes 1P, 20, 61, 75, 92, and K8.</i> | |
| | NM103 | 1035 | Name Last or Organization Name | O AN 1/60 |
| | | | Individual last name or organizational name | |
| | NM104 | 1036 | Name First | O AN 1/35 |
| | | | Individual first name | |
| | NM105 | 1037 | Name Middle | O AN 1/25 |
| | | | Individual middle name or initial | |
| | NM106 | 1038 | Name Prefix | O AN 1/10 |
| | | | Prefix to individual name | |
| | NM107 | 1039 | Name Suffix | O AN 1/10 |
| | | | Suffix to individual name | |
| | NM108 | 66 | Identification Code Qualifier | X ID 1/2 |

Code designating the system/method of code structure used for Identification Code (67)

While the Federal EDI program uses the DUNS and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.

- | | |
|----|--|
| 1 | D-U-N-S Number, Dun & Bradstreet |
| | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> |
| 9 | D-U-N-S+4, D-U-N-S Number with Four Character Suffix |
| | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> |
| 10 | Department of Defense Activity Address Code (DODAAC) |
| | <i>Use to indicate a DoD or Civilian Agency Activity Address.</i> |
| 33 | Commercial and Government Entity (CAGE) |
| | <i>Use to indicate the specified organization's CAGE code.</i> |

| | | | |
|--------------|-----------|----------------------------|------------------|
| NM109 | 67 | Identification Code | X AN 2/80 |
|--------------|-----------|----------------------------|------------------|

Code identifying a party or other code

| | | | |
|--------------|------------|---------------------------------|-----------------|
| NM110 | 706 | Entity Relationship Code | X ID 2/2 |
|--------------|------------|---------------------------------|-----------------|

Code describing entity relationship

Use only with NM101 code S1.

- | | |
|----|--------|
| 01 | Parent |
|----|--------|

| | | | |
|--------------|-----------|-------------------------------|-----------------|
| NM111 | 98 | Entity Identifier Code | O ID 2/3 |
|--------------|-----------|-------------------------------|-----------------|

Code identifying an organizational entity, a physical location, property or an individual

Use any code below to indicate the NM101 code of the organization which is subordinate to the organization identified in NM103 and/or NM108-9.

For example, if in a previous NM1 iteration NM101 was code 92 and NM103 was the National Institutes of Health, then this NM1 could have S1 in NM101, Health and Human Services in NM103, 01 in NM110 and 92 in NM111 to identify that HHS is the parent organization of NIH.

- | | |
|----|---------------------------------------|
| 1P | Provider |
| 20 | Foreign Supplier |
| 61 | Performed At |
| | The facility where work was performed |
| 75 | Participant |

| | |
|----|---|
| 92 | Support Party The organization supporting the resolution of an investigation |
| K8 | Filing Location |

Segment: **N2** Additional Name Information
Position: 3500
Loop: LX Optional
Level: Detail
Usage: Optional
Max Use: 2
Purpose: To specify additional names
Syntax Notes:
Semantic Notes:
Comments:
Notes:

This segment is not necessary when the cited organization can be identified by a code value in 2/NM108,09/3400.

Data Element Summary

| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|----------------------------|-------------------------------|------------------------|-------------------|
| M | N201 | 93 | Name Free-form name | M AN 1/60 |
| | N202 | 93 | Name Free-form name | O AN 1/60 |

Segment: **N3** Address Information
Position: 3600
Loop: LX Optional
Level: Detail
Usage: Optional
Max Use: 2
Purpose: To specify the location of the named party
Syntax Notes:
Semantic Notes:
Comments:
Notes:

This segment is not necessary when the cited organization can be identified by a code value in 2/NM108,09/3400.

Data Element Summary

| | <u>Ref.</u> <u>Des.</u> | <u>Data</u> <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
|---|----------------------------|-------------------------------|--|-------------------|
| M | N301 | 166 | Address Information Address information | M AN 1/55 |
| | N302 | 166 | Address Information Address information | O AN 1/55 |

| | |
|------------------------|--|
| Segment: | N4 Geographic Location |
| Position: | 3700 |
| Loop: | LX Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To specify the geographic place of the named party |
| Syntax Notes: | <ol style="list-style-type: none"> 1 Only one of N402 or N407 may be present. 2 If N406 is present, then N405 is required. 3 If N407 is present, then N404 is required. |
| Semantic Notes: | |
| Comments: | <ol style="list-style-type: none"> 1 A combination of either N401 through N404, or N405 and N406 may be adequate to specify a location. 2 N402 is required only if city name (N401) is in the U.S. or Canada. |
| Notes: | <ol style="list-style-type: none"> 1. <i>This segment is not necessary when the cited organization can be identified by a code value in 2/NM108,09/3400.</i> 2. <i>When 2/NM101/3400 is code 61 and 2/N901/4000 is code RU, use of this segment is REQUIRED to identify the city, county, and state or province as specified in the Federal agency grant preparation instructions.</i> 3. <i>Use only when outside United States.</i> |

Data Element Summary

| Ref. | Data | Name | Attributes |
|-------------|----------------|---|-------------------|
| Des. | Element | | |
| N401 | 19 | City Name | O AN 2/30 |
| | | Free-form text for city name | |
| N402 | 156 | State or Province Code | X ID 2/2 |
| | | Code (Standard State/Province) as defined by appropriate government agency | |
| N403 | 116 | Postal Code | O ID 3/15 |
| | | Code defining international postal zone code excluding punctuation and blanks (zip code for United States) | |
| N404 | 26 | Country Code | X ID 2/3 |
| | | Code identifying the country | |
| | | <i>Use is REQUIRED when 2/NM101/3400 is code 20 and the organization is not identified by a qualified number in 2/NM108, 09/3400.</i> | |
| N405 | 309 | Location Qualifier | X ID 1/2 |
| | | Code identifying type of location | |
| | | CY County/Parish | |
| | | <i>When 2/NM101/3400 is code 61, use to indicate the county in which the project will be performed as specified in the Federal Agency grant application</i> | |

instructions.

| | | | | |
|-----------------|-------------|-------------|---|------------------|
| | N406 | 310 | Location Identifier Code which identifies a specific location | O AN 1/30 |
| Not Used | N407 | 1715 | Country Subdivision Code Code identifying the country subdivision | X ID 1/3 |

Segment: **PER** Administrative Communications Contact

Position: 3750

Loop: LX Optional

Level: Detail

Usage: Optional

Max Use: >1

Purpose: To identify a person or office to whom administrative communications should be directed

Syntax Notes:

- 1 If either PER03 or PER04 is present, then the other is required.
- 2 If either PER05 or PER06 is present, then the other is required.
- 3 If either PER07 or PER08 is present, then the other is required.

Semantic Notes:**Comments:**

Notes: *When 2/NM101/3400 is code 2J, 9P or 9S, use is REQUIRED to provide communications numbers associated with the principal investigator, all co-investigators, and the individual for whom the professional profile is being submitted.*

Data Element Summary

| Ref. | Data | | | |
|-------------|----------------|-------------|--|------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> | |
| M | PER01 | 366 | Contact Function Code | M ID 2/2 |
| | | | Code identifying the major duty or responsibility of the person or group named | |
| | | | IC Information Contact | |
| | PER02 | 93 | Name | O AN 1/60 |
| | | | Free-form name | |
| | | | <i>Use to identify the name of a point of contact. Last name, followed by first name, is preferred. If the whole name is longer than 35 characters, the use of initials for the first name is recommended.</i> | |
| | PER03 | 365 | Communication Number Qualifier | X ID 2/2 |
| | | | Code identifying the type of communication number | |
| | | | TE Telephone | |
| | PER04 | 364 | Communication Number | X AN 1/256 |
| | | | Complete communications number including country or area code when applicable | |
| | | | <i>The telephone number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code. If an extension applies to the telephone number, concatenate the letter X plus the extension at the end of the number, e.g., 17035551212X123.</i> | |
| | PER05 | 365 | Communication Number Qualifier | X ID 2/2 |
| | | | Code identifying the type of communication number | |
| | | | FX Facsimile | |
| | PER06 | 364 | Communication Number | X AN 1/256 |

Complete communications number including country or area code when applicable

The fax number shall be transmitted as a continuous number with no extraneous characters. Include the country code and area code.

| | | | | |
|--------------|------------|--|----------|-----------------|
| PER07 | 365 | Communication Number Qualifier | X | ID 2/2 |
| | | Code identifying the type of communication number | | |
| | | EM Electronic Mail | | |
| PER08 | 364 | Communication Number | X | AN 1/256 |
| | | Complete communications number including country or area code when applicable | | |
| PER09 | 443 | Contact Inquiry Reference | O | AN 1/20 |
| | | Additional reference number or description to clarify a contact number | | |
| | | <i>Use to provide the office symbol, mail stop, or organization routing code of the individual cited in PER02.</i> | | |

| | |
|------------------------|--|
| Segment: | DMG Demographic Information |
| Position: | 3800 |
| Loop: | LX Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To supply demographic information |
| Syntax Notes: | 1 If either DMG01 or DMG02 is present, then the other is required. |
| Semantic Notes: | 1 DMG02 is the date of birth. 2 DMG07 is the country of citizenship. 3 DMG09 is the age in years. |
| Comments: | |
| Notes: | <p>1. When HL03 is code 26 (Key Person loop) and 2/NM101/3400 is code 9P or 9S, use is REQUIRED to provide the citizenship status of the principal investigator and any Co-investigators. It may optionally be used to provide other demographic information.</p> <p>2. Use multiple occurrences as needed to provide race and ethnicity codes.</p> |

Data Element Summary

| Ref. | Data | Name | Attributes |
|-------------|----------------|--|------------|
| <u>Des.</u> | <u>Element</u> | | |
| DMG01 | 1250 | Date Time Period Format Qualifier | X ID 2/3 |
| | | Code indicating the date format, time format, or date and time format | |
| | | D8 Date Expressed in Format CCYYMMDD | |
| DMG02 | 1251 | Date Time Period | X AN 1/35 |
| | | Expression of a date, a time, or range of dates, times or dates and times | |
| | | <i>Use to indicate the individual's date of birth. Express date in CCYYMMDD format.</i> | |
| DMG03 | 1068 | Gender Code | O ID 1/1 |
| | | Code indicating the sex of the individual | |
| | | <i>Use only in the first occurrence of the DMG segment.</i> | |
| | | A Not Provided | |
| | | F Female | |
| | | M Male | |
| Not Used | DMG04 | 1067 Marital Status Code | O ID 1/1 |
| | | Code defining the marital status of a person | |
| | DMG05 | 1109 Race or Ethnicity Code | O ID 1/1 |
| | | Code indicating the racial or ethnic background of a person; it is normally self-reported; Under certain circumstances this information is collected for United States Government statistical purposes | |
| | | <i>If more than one code applies, use multiple DMG segments for additional stratification.</i> | |

| | |
|---|---|
| 7 | Not Provided |
| A | Asian or Pacific Islander |
| | <i>Use only for Asian. Use code P for Pacific Islander.</i> |
| B | Black |
| C | Caucasian |
| H | Hispanic |
| | <i>Use for Hispanic or Latino.</i> |
| I | American Indian or Alaskan Native |
| P | Pacific Islander |
| | <i>Use to indicate a Native Hawaiian or other Pacific Islander.</i> |

DMG06 1066 Citizenship Status Code O ID 1/2

Code indicating citizenship status

1. When HL03 is code PC (Project loop), SP (Sub-project loop) or CO (Consortium loop) and 2/NM101/3400 is code 9P or 9S, use is REQUIRED to provide citizenship status regarding the Principal Investigator and any Co-investigators.

2. Use only in the first occurrence of the DMG segment.

| | |
|---|--|
| 1 | U.S. Citizen |
| 2 | Non-Resident Alien |
| 3 | Resident Alien |
| | <i>Use to indicate the Principal Investigator or Co-investigator is not a US citizen but has been lawfully admitted to the US for permanent residence.</i> |
| 8 | Citizen |
| | <i>Use to indicate person elects not to provide citizenship status.</i> |

Not Used DMG07 26 Country Code O ID 2/3

Code identifying the country

Not Used DMG08 659 Basis of Verification Code O ID 1/2

Code indicating the basis of verification

Not Used DMG09 380 Quantity O R 1/15

Numeric value of quantity

| | |
|------------------------|--|
| Segment: | EMS Employment Position |
| Position: | 3900 |
| Loop: | LX Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To describe employment position |
| Syntax Notes: | 1 If either EMS05 or EMS06 is present, then the other is required. |
| Semantic Notes: | 1 EMS01 describes the employee's title or position in text. 2 EMS02 defines the employment position relationship. 3 EMS03 defines the occupation category. 4 EMS04 defines the status of employment. 5 EMS05 identifies EMS06 as pay grade. 6 EMS06 defines pay grade for employee, if available. |
| Comments: | |
| Notes: | <i>In Key Person loops, use, if applicable, to indicate that the principal or co-investigator has a disability. Also use to identify the project role of key employees (2/NM101/3400 is code 9K only [not needed with 17, 9P, 9S, or EY]).</i> |

Data Element Summary

| | <u>Ref.</u> | <u>Data</u> | <u>Name</u> | <u>Attributes</u> |
|----------|-------------|----------------|--|-------------------|
| | <u>Des.</u> | <u>Element</u> | | |
| Must Use | EMS01 | 352 | Description | O AN 1/80 |
| | | | A free-form description to clarify the related data elements and their content | |
| | | | <i>1. When 2/HL03 is code 26 (Key Person Loop) and 2/NM101/3400 is code 9P or 9S, and if the principal investigator has a disability (EMS04 is code DS), use to cite the nature of the disability.</i> | |
| | | | <i>2. When 2/HL03/0100 is code 26 (Key Person Loop) and 2/NM101/3400 is code 9K use to identify the project role of the key person.</i> | |
| | | | <i>3. When EMS04 is used with code DS to indicate a disability, identify the disability using the following code.</i> | |
| | | | <i>0 Not Provided</i> | |
| | | | <i>1 Vision Impaired</i> | |
| | | | <i>2 Hearing Impaired</i> | |
| | | | <i>3 Mobility Impaired-Non-Paralytic</i> | |
| | | | <i>4 Speech Impaired</i> | |
| | | | <i>5 Partial Paralysis</i> | |
| | | | <i>6 Complete Paralysis</i> | |
| | | | <i>7 Missing Extremities</i> | |
| | | | <i>8 Other</i> | |
| Not Used | EMS02 | 1176 | Employment Class Code | O ID 2/3 |

| | | | | |
|----------|-------|------|---|-----------|
| | | | Code indicating category of employee | |
| Not Used | EMS03 | 1149 | Occupation Code | O ID 4/6 |
| | | | Code identifying the occupation of an individual | |
| Must Use | EMS04 | 584 | Employment Status Code | O ID 2/2 |
| | | | Code showing the general employment status of an employee/claimant | |
| | | | DS | Disabled |
| | | | <i>When 2/HL03/0100 is code 26 (Key Person Loop) and 2/NM101/3400 is code 9P or 9S, use to indicate that the investigator has a disability. Use disability codes in EMS01 to identify the disability.</i> | |
| Not Used | EMS05 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | EMS06 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| Not Used | EMS07 | 127 | Reference Identification | O AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |

| | |
|------------------------|---|
| Segment: | N9 Reference Identification |
| Position: | 4000 |
| Loop: | N9 Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | 1 |
| Purpose: | To transmit identifying information as specified by the Reference Identification Qualifier |
| Syntax Notes: | <ol style="list-style-type: none"> 1 At least one of N902 or N903 is required. 2 If N906 is present, then N905 is required. 3 If either C04003 or C04004 is present, then the other is required. 4 If either C04005 or C04006 is present, then the other is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 N906 reflects the time zone which the time reflects. 2 N907 contains data relating to the value cited in N902. |
| Comments: | |
| Notes: | <ol style="list-style-type: none"> 1. Use to identify references associated with the entity cited in 2/NM101/3400. 2. When HL03 is code OS (Other Support loop) and 2/NM101/3400 is code 92, use of this segment is REQUIRED to identify the award number (code CT) or application number (code BD). |

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|--|---|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | N901 | 128 Reference Identification Qualifier | M ID 2/3 |
| | | Code qualifying the Reference Identification | |
| | | 19 Division Identifier | |
| | | | <i>When 2/NM101/3400 is code 2J, 9K, 9P, or 9S, use to indicate the major subdivision name of the individual's organization. For example, School of Engineering or Adhesive Products Division. Cite the name in N903.</i> |
| | | 5C Congressional District | |
| | | | <i>When 2/NM101/3400 is code 61, use to indicate the Congressional district in which the project is performed as specified in the Federal Agency grant application instructions. Use multiple iterations of this segment with code 5C if the work is performed in more than one Congressional district.</i> |
| | | 9F Referral Number | |
| | | | <i>When 2/NM101/3400 is code 17, use to indicate the number of days for consultation.</i> |
| | | AH Agreement Number | |
| | | | <i>When HL03 is code PC (Project loop) and 2/NM101/3400 is code K8, use to indicate whether</i> |

| | |
|----|---|
| | <p><i>the indirect rate is current or pending. If the rate is current, cite CURRENT in N903 and the date in N904. If the rate is pending, cite PENDING in N903.</i></p> |
| BD | <p>Bid Number</p> <p><i>1. When HL03 is code OS (Other Support loop) , 2/NM101/3400 is code 92, and the Other Support is pending or planned, cite the supporting organization's application number in N902, when known. Use the 2/MTX/4100 segment to identify the project title.</i></p> <p><i>2. When the pending or planned support is for the same as this application, cite the word SAME in N903 and do not use codes K5 or YV.</i></p> |
| CT | <p>Contract Number</p> <p><i>When HL03 is code OS (Other Support loop), 2/NM101/3400 is code 92, and the Other Support is active, cite the supporting organization's award number in N902. Use the 2/MTX/4100 segment to identify the project title.</i></p> |
| GE | <p>Geographic Number</p> <p><i>When 2/NM101/3400 is code 61, use to indicate a geographic location not otherwise identified. Cite the name of the location in N903 and, if required, provide the coordinates in N907. If needed, use N907-01 and N907-03 to pass longitude and latitude coordinates.</i></p> |
| JD | <p>User Identification</p> <p><i>1. Use to indicate the Government User Identifier. Use in an application when the individual identified in 2/NM1/3400 is a key person (code 9K, 9P, or 9S).</i></p> <p><i>2. Use is REQUIRED in a professional profile (1/BGN07/0200 is code FG and 2/NM101/3400 code is 2J).</i></p> |
| K5 | <p>Task Order</p> <p><i>When HL03 is code OS (Other Support loop), use to indicate the goals of the other project. Cite the word GOALS in N903 and use the following 2/MTX/410 segment to provide the description.</i></p> |
| L4 | <p>Proposal Paragraph Number</p> <p>The place in a proposal where additional information can be found</p> |

| | |
|----|---|
| | <p><i>1. In applications (when 2/NM101/3400 is code 9P, 9K, or 9S) and professional profiles (2/NM101/3400 is code 2J) when HL03 is code 26 (Key Person loop), use to indicate the paragraph number that describes the text that will appear in the 2/MTX/4100 segment associated with the individual identified in the 2/NM1/3400 segment. This includes the individual's published articles when specific Federal Agency instructions direct that they be provided in free-form text.</i></p> <p><i>2. Use multiple iterations as needed to completely describe the required information.</i></p> |
| P5 | <p>Position Code</p> <p><i>When 2/NM101/3400 is code 17, 2J, 9K, 9P, 9S or EY, use is REQUIRED to indicate the position title of the individual. Cite the title in N903.</i></p> |
| P6 | <p>Pipeline Number</p> <p><i>When 2/NM101/3400 is code 61, use to indicate a pipeline designation. Provide the coordinates in N907. If needed, use N907-01 and N907-03 to pass longitude and latitude coordinates.</i></p> |
| RC | <p>Rail Routing Code</p> <p><i>When 2/NM101/3400 is code 61, use to indicate a railway designation. When this code is used, the N4 segment is REQUIRED. Cite the owner of the railway in N903.</i></p> |
| RU | <p>Route Number</p> <p><i>When 2/NM101/3400 is code 61, use to indicate a roadway designation, e.g., I-95, US Highway 1, State Route, 274. When this code is used, the N4 segment is REQUIRED. If needed, use N907-01 and N907-03 to pass mileage markers.</i></p> |
| SY | <p>Social Security Number</p> <p><i>When HL03 is code 26 (Key Person loop) and 2/NM101/3400 is code 9P or 9S, use to indicate the social security number of the Principal Investigator and any Co-Investigators. Transmit as a continuous number without extraneous characters, spaces, or separators.</i></p> |
| YV | <p>Participating Area</p> <p><i>Use only when HL03 is code OS (Other Support loop) to indicate the overlap between the other project and the project being proposed. Cite the word OVERLAP in N903 and use the following</i></p> |

2/MTX/4100 segment to provide an explanation of the overlap.

| | | |
|-----------------|--------------------|---|
| N902 | 127 | Reference Identification X AN 1/30 Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier <i>1. When N901 is code BD and there is no unique identification number associated with the application, cite NONE.</i> <i>2. When N901 is code L4, cite the applicable paragraph number from the list below.</i> <i>3. For codes D.2-D.9 use a separate iteration of the N9 loop to identify each different event (e.g., each employment position should be in a separate N9 loop, each advisor should be in a separate N9 loop, etc.).</i> Para # Subject Area <i>D Biographical</i> <i>D.1 Experience</i> <i>D.2 Employment History</i> <i>D.3 Honors</i> <i>D.4 Memberships/Associations</i> <i>D.5 Publications</i> <i>D.5.1 Medline Accession Number</i> <i>D.5.2 Other Electronic Library</i> <i>D.6 Advisors</i> <i>D.7 Advisees</i> <i>D.8 Collaborators/Nature of Collaboration</i> <i>D.9 Other Conflicts of Interest (Use only in applications)</i> |
| N903 | 369 | Free-form Description X AN 1/45 Free-form descriptive text <i>1. When N901 is code GE, use is REQUIRED to identify the name of the geographic location.</i> <i>2. When N901 is code RC, use is REQUIRED to identify the owner of the railway.</i> |
| N904 | 373 | Date O DT 8/8 Date expressed as CCYYMMDD <i>When HL03 is code PC (Project loop), N901 is code AH and N903 cites CURRENT, use to indicate the date of the indirect rate agreement.</i> |
| Not Used | N905 337 | Time X TM 4/8 Time expressed in 24-hour clock time as follows: HHMM, or HHMMSS, or HHMMSSD, or HHMMSSDD, where H = hours (00-23), M = minutes (00-59), S = integer seconds (00-59) and DD = decimal seconds; decimal seconds are expressed as follows: D = tenths (0-9) and DD = hundredths (00-99) |

| | | | | |
|----------|--------|------|--|------------------|
| Not Used | N906 | 623 | Time Code | O ID 2/2 |
| | | | Code identifying the time. In accordance with International Standards Organization standard 8601, time can be specified by a + or - and an indication in hours in relation to Universal Time Coordinate (UTC) time; since + is a restricted character, + and - are substituted by P and M in the codes that follow | |
| | N907 | C040 | Reference Identifier | O |
| | | | To identify one or more reference numbers or identification numbers as specified by the Reference Qualifier | |
| M | C04001 | 128 | Reference Identification Qualifier | M ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| | | 76 | Milestone | |
| | | | A specific event that can be identified as occurring at a specific time | |
| | | | <i>When N901 is code RU, use to indicate the roadway milepost associated with the location cited in 2/N4/3700.</i> | |
| | | DP | Department Number | |
| | | | <i>Use as needed when N901 is code 19 to indicate the department, service, laboratory, or equivalent level within the major subdivision name (code 19) of the individual's organization. For example, Department of Industrial Engineering or Sales Department. Cite the name in N907-02.</i> | |
| | | LK | Longitude expressed in Degrees, Minutes and Seconds | |
| | | | <i>When N901 is code GE or P6, use to indicate the longitude for the location.</i> | |
| M | C04002 | 127 | Reference Identification | M AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |
| | C04003 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| | | 76 | Milestone | |
| | | | A specific event that can be identified as occurring at a specific time | |
| | | | <i>When N901 is code RU, use to indicate a second roadway milepost associated with the location cited in 2/N4/3700, if needed.</i> | |
| | | LQ | Latitude Expressed in Degrees, Minutes and Seconds | |
| | | | <i>When N901 is code GE or P6, use to indicate the latitude for the location.</i> | |
| | C04004 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as | |

| | | | | |
|-----------------|---------------|------------|---|------------------|
| | | | specified by the Reference Identification Qualifier | |
| Not Used | C04005 | 128 | Reference Identification Qualifier | X ID 2/3 |
| | | | Code qualifying the Reference Identification | |
| Not Used | C04006 | 127 | Reference Identification | X AN 1/30 |
| | | | Reference information as defined for a particular Transaction Set or as specified by the Reference Identification Qualifier | |

| | |
|------------------------|--|
| Segment: | MTX Text |
| Position: | 4100 |
| Loop: | N9 Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To specify textual data |
| Syntax Notes: | <ol style="list-style-type: none"> 1 If MTX01 is present, then MTX02 is required. 2 If MTX03 is present, then MTX02 is required. 3 If MTX05 is present, then MTX04 is required. |
| Semantic Notes: | <ol style="list-style-type: none"> 1 MTX05 is the number of lines to advance before printing. |
| Comments: | <ol style="list-style-type: none"> 1 If MTX04 is "AA - Advance the specific number of lines before print", then MTX05 is required. |
| Notes: | <ol style="list-style-type: none"> 1. When HL03 is code PC (Project loop), SP (Sub-project loop), or CO (Consortium loop) and N901 is code CT or BD, use to provide the title of the Other Support Project. 2. When HL03 is code 26 (Key Person loop), SP (Sub-project loop), or CO (Consortium loop) and N901 is code L4, use to identify biographical data including experience, honors, and memberships/associations of the individual identified in the 2/NM1/3400 segment. 3. When HL03 is code OS (Other Support loop) and N903 cites the word GOALS, use to indicate the goals of the other project. 4. When HL03 is code OS (Other Support loop) and N903 cites the word OVERLAP, use to explain the overlap between the other project and the project being proposed. |

Data Element Summary

| | <u>Ref.</u> | <u>Data</u> | <u>Attributes</u> |
|----------|-------------|--|-------------------|
| | <u>Des.</u> | <u>Element</u> <u>Name</u> | |
| Not Used | MTX01 | 363 Note Reference Code | O ID 3/3 |
| | | Code identifying the functional area or purpose for which the note applies | |
| Must Use | MTX02 | 1551 Message Text | X AN 1/4096 |
| | | To transmit large volumes of message text | |
| | MTX03 | 1551 Message Text | O AN 1/4096 |
| | | To transmit large volumes of message text | |
| Not Used | MTX04 | 934 Printer Carriage Control Code | X ID 2/2 |
| | | A field to be used for the control of the line feed of the receiving printer | |
| Not Used | MTX05 | 1470 Number | O N0 1/9 |
| | | A generic number | |
| | MTX06 | 819 Language Code | O ID 2/3 |
| | | Code designating the language used in text, from a standard code list maintained by the International Standards Organization (ISO 639) | |

Segment: DEG Degree Record**Position:** 4200**Loop:** DEG Optional**Level:** Detail**Usage:** Optional**Max Use:** 1**Purpose:** To provide the receiving institution or agency notice of academic awards made to the student whose record is being transmitted**Syntax Notes:** 1 If either DEG02 or DEG03 is present, then the other is required.**Semantic Notes:** 1 DEG02 and DEG03 refer to the date the degree was awarded.

2 DEG05 indicates the type of honors the student received with the degree.

Comments:**Notes:** 1. When HL03 is code 26 (Key Person loop), and 2/NM101/3400 is code 2J, 9K, 9P, or 9S, use of this DEG loop is **REQUIRED** to identify the academic degree history of all Key Personnel.

2. Use multiple iterations as needed to identify all pertinent degrees.

Data Element Summary

| | Ref. | Data | Name | Attributes |
|----------|-------------|----------------|--|-------------------|
| | Des. | Element | | |
| M | DEG01 | 1126 | Academic Degree Code | M ID 3/3 |
| | | | Code indicating the level of postsecondary academic award earned by a student | |
| | | | <i>Use one of the following degree codes:</i> | |
| | | | 2.1 Postsecondary Certificate or diploma (less than one year) | |
| | | | 2.2 Postsecondary Certificate or diploma (one year or more but less than four years) | |
| | | | 2.3 Associate Degree (e.g., Associate in Science) | |
| | | | 2.4 Baccalaureate Degree | |
| | | | 2.5 Baccalaureate (Honors) Degree | |
| | | | 3.1 First Professional Degree | |
| | | | 3.2 Post-Professional Degree | |
| | | | 4.1 Graduate Certificate | |
| | | | 4.2 Master's Degree | |
| | | | 4.3 Intermediate Graduate Degree | |
| | | | 4.4 Doctoral Degree | |
| | | | 4.5 Post-Doctoral Degree | |
| Must Use | DEG02 | 1250 | Date Time Period Format Qualifier | X ID 2/3 |
| | | | Code indicating the date format, time format, or date and time format | |
| | | | CM Date in Format CCYYMM | |
| | | | <i>Use to indicate the century, year, and month in which the degree was awarded.</i> | |
| Must Use | DEG03 | 1251 | Date Time Period | X AN 1/35 |

| | | | | |
|-----------------|--------------|------------|--|------------------|
| | DEG04 | 352 | Expression of a date, a time, or range of dates, times or dates and times Description A free-form description to clarify the related data elements and their content <i>Use to identify the type of degree (e.g., PHD, MD, DVM, JD, etc.) for the level of degree provided in DEG01.</i> | O AN 1/80 |
| Not Used | DEG05 | 641 | Status Reason Code Code indicating the status reason | O ID 3/3 |

Segment: FOS Field of Study**Position:** 4300**Loop:** DEG Optional**Level:** Detail**Usage:** Optional**Max Use:** >1**Purpose:** To provide the receiving institution or agency with information about a course or field of study associated with an academic program**Syntax Notes:** 1 If either FOS02 or FOS03 is present, then the other is required.

2 At least one of FOS02 or FOS04 is required.

Semantic Notes: 1 FOS02 and FOS03 are the student's program of study.

2 FOS06 indicates the number of years or fractional parts of a year a course or field of study was studied.

3 FOS07 indicates grade point average in the course or field of study.

Comments:**Notes:** *Use of this FOS segment is REQUIRED in each 2/DEG/4200 loop iteration to identify the field of study for which the degree was conferred.***Data Element Summary**

| | Ref. | Data | | |
|-----------------|--------------|----------------|---|-------------------|
| | Des. | Element | Name | Attributes |
| M | FOS01 | 1153 | Academic Field of Study Level or Type Code | M ID 1/1 |
| | | | Code indicating the field of study being described for a student in an academic institution by indicating how it was used in the academic program or indicating a course area in a field of study | |
| | | | M Major | |
| Not Used | FOS02 | 66 | Identification Code Qualifier | X ID 1/2 |
| | | | Code designating the system/method of code structure used for Identification Code (67) | |
| Not Used | FOS03 | 67 | Identification Code | X AN 2/80 |
| | | | Code identifying a party or other code | |
| Must Use | FOS04 | 352 | Description | X AN 1/80 |
| | | | A free-form description to clarify the related data elements and their content | |
| | | | <i>Use to identify the broad area of study (e.g., Chemistry or Physics).</i> | |
| | FOS05 | 352 | Description | O AN 1/80 |
| | | | A free-form description to clarify the related data elements and their content | |
| | | | <i>Use to identify an area of specialization within the broad area.</i> | |
| Not Used | FOS06 | 380 | Quantity | O R 1/15 |
| | | | Numeric value of quantity | |
| Not Used | FOS07 | 380 | Quantity | O R 1/15 |
| | | | Numeric value of quantity | |

| | |
|------------------------|---|
| Segment: | N1 Name |
| Position: | 4400 |
| Loop: | DEG Optional |
| Level: | Detail |
| Usage: | Optional |
| Max Use: | >1 |
| Purpose: | To identify a party by type of organization, name, and code |
| Syntax Notes: | <ol style="list-style-type: none"> 1 At least one of N102 or N103 is required. 2 If either N103 or N104 is present, then the other is required. |
| Semantic Notes: | |
| Comments: | <ol style="list-style-type: none"> 1 This segment, used alone, provides the most efficient method of providing organizational identification. To obtain this efficiency the "ID Code" (N104) must provide a key to the table maintained by the transaction processing party. 2 N105 and N106 further define the type of entity in N101. |
| Notes: | <i>Use of this N1 segment is REQUIRED in each 2/DEG/4200 loop iteration to identify the institution of higher education which conferred the degree.</i> |

Data Element Summary

| Ref. | Data | | |
|-------------|----------------|--|-------------------|
| <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | N101 | 98 Entity Identifier Code | M ID 2/3 |
| | | Code identifying an organizational entity, a physical location, property or an individual | |
| | | 1R University, College or School | |
| | N102 | 93 Name | X AN 1/60 |
| | | Free-form name | |
| | | <i>Use only if no coded means of identifying the educational institution is available.</i> | |
| | N103 | 66 Identification Code Qualifier | X ID 1/2 |
| | | Code designating the system/method of code structure used for Identification Code (67) | |
| | | <i>While the Federal EDI program uses the DUNS and DUNS+4 number, other Government users of this implementation convention may require the use of other or additional numbers for a transition period in order to cross reference existing data bases.</i> | |
| | | 1 D-U-N-S Number, Dun & Bradstreet | |
| | | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> | |
| | | 9 D-U-N-S+4, D-U-N-S Number with Four Character Suffix | |
| | | <i>Use of the DUNS and DUNS+4 number is preferred over other codes to identify an entity.</i> | |
| | | 10 Department of Defense Activity Address Code (DODAAC) | |

Use to indicate a DoD or Civilian Agency Activity Address.

33

Commercial and Government Entity (CAGE)

Use to indicate the specified organization's CAGE code.

| | | | | | |
|-----------------|-------------|------------|---|----------|----------------|
| | N104 | 67 | Identification Code | X | AN 2/80 |
| | | | Code identifying a party or other code | | |
| Not Used | N105 | 706 | Entity Relationship Code | O | ID 2/2 |
| | | | Code describing entity relationship | | |
| Not Used | N106 | 98 | Entity Identifier Code | O | ID 2/3 |
| | | | Code identifying an organizational entity, a physical location, property or an individual | | |

Segment: **SE** Transaction Set Trailer
Position: 4800
Loop:
Level: Detail
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

Syntax Notes:**Semantic Notes:**

Comments: 1 SE is the last segment of each transaction set.

Data Element Summary

| | Ref. | Data | | |
|----------|--------------------|-----------------------|---|--------------------------|
| | <u>Des.</u> | <u>Element</u> | <u>Name</u> | <u>Attributes</u> |
| M | SE01 | 96 | Number of Included Segments | M N0 1/10 |
| | | | Total number of segments included in a transaction set including ST and SE segments | |
| M | SE02 | 329 | Transaction Set Control Number | M AN 4/9 |
| | | | Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set | |
| | | | <i>Cite the same number as appears in ST02.</i> | |